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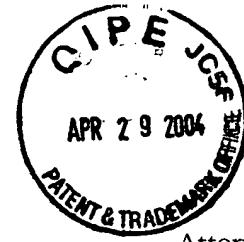
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Attorney Docket No. 36194/42366

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF FIRST CLASS MAILING

I certify that the documents referred to as enclosed herein are being deposited on
April 126 2004, with the U.S. Postal Service as First Class Mail under 37 C.F.R.
1.8 and are addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia
22313-1450.

B. Volk
Benjamin L. Volk, Jr.
Reg. No. 48,017

In re application of:
Tully et al.

Serial No.: 10/692,067 : Examiner: Not Yet Assigned

Filed: October 22, 2003 : Group Art Unit: 3628

For: System And Method For The Automated
Brokerage Of Financial Instruments : :

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

PETITION UNDER 37 CFR 1.10(c) TO CORRECT FILING
DATE AND DATE IN DISCREPANCY

On April 19, 2004, Applicant received the Filing Receipt mailed April 15, 2004 (copy enclosed) for the above-identified patent application. This filing receipt listed the application's filing date as 10/23/2003. However, the proper filing date for this application is 10/22/2003, as will be explained below. In particular, Applicant notes that the "date-in" field on the Express Mail mailing label for this application identifies the filing date as 10/22/2003.

37 CFR 1.10(c) governs situations such as these. It reads as follows:

Any person filing correspondence under this section that was received by the Office and delivered by the "Express Mail Post Office to Addressee" service of the

USPS, who can show that there is a discrepancy between the filing date accorded by the Office to the correspondence and the date of deposit as shown by the "date-in" on the "Express Mail" mailing label or other official USPS notation, may petition the Commissioner to accord the correspondence a filing date as of the "date-in" on the "Express Mail" mailing label or other official USPS notation, provided that:

- (1) The petition is filed promptly after the person becomes aware that the Office has accorded, or will accord, a filing date other than the USPS deposit date;
- (2) The number of the "Express Mail" mailing label was placed on the paper(s) or fee(s) that constitute the correspondence prior to the original mailing by "Express Mail"; and
- (3) The petition includes a true copy of the "Express Mail" mailing label showing the "date-in", and of any other official notation by the USPS relied upon to show the date of deposit.

Pursuant to 37 CFR 1.10(c), Applicant hereby petitions to correct the filing date for this application to the date of October 22, 2003.

In support of 37 CFR 1.10(c)(1), the undersigned hereby notes that he first became aware of the USPTO's incorrect assignation of this application's filing date on April 22, 2004. He became aware of this error upon review of the filing receipt mailed by the USPTO on April 15, 2004 and received by the law firm office of the undersigned on April 19, 2004. Applicant respectfully submits that this petition has been submitted promptly after becoming aware of the USPTO's error.

In support of 37 CFR 1.10(c)(2), Applicant respectfully submits that the number of the "Express Mail" mailing label (EV328618216US) was placed on all of the papers that constitute the application filing on October 22, 2003. As evidence of this, enclosed with this petition are photocopies of the papers deposited with the USPS in Express Mail package EV328618216US. Applicant has highlighted the locations at which EV328618216US appears. Important among these papers is the first page of the application enclosed herewith that includes the Express Mail number EV328618216US. Also among these papers are copies of the originally-filed drawings, each with the Express Mail number EV328618216US included thereon. Other papers that include the Express Mail number EV328618216US are pages 1 and 2 of the "Utility Patent Application Transmittal", and page 1 of the Declaration.

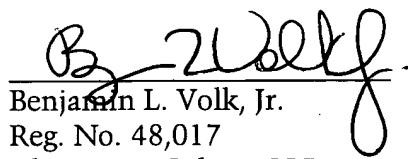
In support of 37 CFR 1.10(c)(3), Applicant respectfully submits a true copy of the "Express Mail" mailing label for the above-identified patent application that shows the "date-

Attorney Docket No. 36194/42366

in" date of October 22, 2003. Applicant has highlighted the location on the Express Mail mailing label that shows this date-in date.

Therefore, having satisfied conditions (1)-(3) of 37 CFR 1.10(c), Applicant respectfully requests that the USPTO accord the above-identified patent application the correct filing date of October 22, 2003. Applicant believes there is no fee due for this filing. However, if a fee is due, the Commissioner for Patents is authorized to charge Deposit Account No. 20-0823. A duplicate copy of this Petition is enclosed for that purpose.

Respectfully submitted,



Benjamin L. Volk, Jr.
Reg. No. 48,017
Thompson Coburn LLP
One US Bank Plaza
St. Louis, Missouri 63101
(314) 552-6000
(314) 552-7000 (fax)



UNITED STATES PATENT AND TRADEMARK OFFICE

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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/692,067	10/23/2003	3628	3018	36194/42366	62	90	11

10/22/2003

21888
THOMPSON COBURN, LLP
ONE US BANK PLAZA
SUITE 3500
ST LOUIS, MO 63101



CONFIRMATION NO. 7243

UPDATED FILING RECEIPT



OC000000012369964

Date Mailed: 04/15/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Michael James Tully, Maryland Heights, MO;
Virgil Michael Scott, Wildwood, MO;
Dwayne Oliver Randle, Bridgeton, MO;
Gregory Paul Lembree, O'Fallon, MO;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted: 04/14/2004

Projected Publication Date: 07/22/2004

RECEIVED

Non-Publication Request: No

APR 19 2004

Early Publication Request: Yes

TH THOMPSON COBURN LLP

Title

System and method for the automated brokerage of financial instruments

DOCKETED

APR 19 2004

Thompson Coburn LLP

Preliminary Class
705



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Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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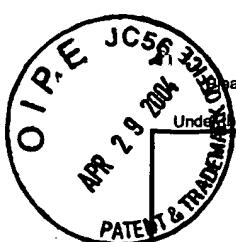
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**UTILITY
PATENT APPLICATION
TRANSMITTAL**
(Only for new nonprovisional applications under
37 CFR 1.53(b))

Attorney Docket No.	36194/42366
First Inventor	Tully et al.
Title	System And Method For The Automated Brokerage Of Financial Instruments
Express Mail No.	EV328618216US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- Applicant claims small entity status.
See 37 CFR 1.27.
- Specification [Total Pages 99]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- Drawing(s) (35 U.S.C. 113) [Total Sheets 39]
- Oath or Declaration [Total Pages 3]
 - Newly executed (original or copy)
 - Unexecuted.
 - Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)

i. **DELETION OF INVENTOR(S)**

Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

ADDRESS TO:
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- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - CD-ROM or CD-R (2 copies); or
 - paper
 - Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- Assignment Papers (cover sheet & document(s))
- 37 CFR 3.73(b) Statement Power of Attorney (when there is an assignee)
- English Translation Document (if applicable)
- Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
- Preliminary Amendment
- Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
- Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
- Certificate of Express Mail
- Other: _____

DOCKETED

OCT 23 2003

Thompson Coburn L.L.C.

17. If a CONTINUATING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.: _____ /

Prior application information: Examiner _____ Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS



Customer Number or Bar Code Label

or Correspondence address below

Name	Benjamin L. Volk, Jr.	Registration No. (Attorney/Agent)	#48,017
Address	Thompson Coburn LLP		
City	One US Bank Plaza, Suite 3500	State	MO
Country	U.S.A.	Telephone	314-552-6000
		Zip Code	63101-9928
		Fax	314-552-7000

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PATENT APPLICATION FEE DETERMINATION RECORD				Application or Docket Number				
CLAIMS AS FILED - PART I				SMALL ENTITY		OR	OTHER THAN SMALL ENTITY	
APR 29 2004 FOR PATENT & TRADEMARK OFFICE	(Column 1) NUMBER FILED	(Column 2) NUMBER EXTRA		RATE	Fee		RATE	
BASIC FEE (37 CFR 1.16(b))							770.00	
TOTAL CLAIMS (37 CFR 1.16(c))	90 minus 20 =	70		x \$ =	0.00	OR x \$18.00 =	1,260.00	
INDEPENDENT CLAIMS (37 CFR 1.16(b))	11 minus 3 =	8		x \$ =	0.00	OR x \$86.00 =	688.00	
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))				+ \$ =		OR + \$ =		
				TOTAL	0.00	OR	TOTAL 2,718.00	
* If the difference in column 1 is less than zero, enter "0" in column 2								

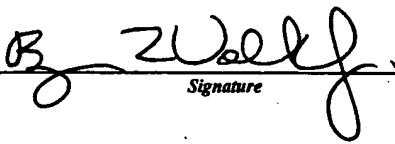
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Signature

Dated: October 22, 2003

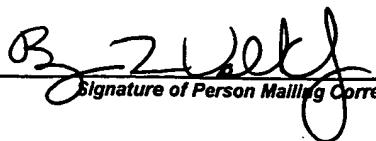
Benjamin L. Volk, Jr., Reg. No. 48,017
 Thompson Coburn LLP
 One US Bank Plaza, Suite 3500
 St. Louis, Missouri 63101-9928
 314-552-6000
 FAX 314-552-7000



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Express Mail No. EV328618216US



Signature of Person Mailing Correspondence

Benjamin L. Volk, Jr.

Typed or Printed Name of Person Mailing Correspondence



DECLARATION FOR UTILITY, DESIGN, DIVISIONAL AND CONTINUATION-IN-PART PATENT APPLICATIONS (37 CFR 1.63)		Express Mail No.	EV328618216US
		Attorney Docket Number	36194/42366
		First Named Inventor	Tully et al.
<input checked="" type="checkbox"/> Declaration Submitted with Initial Filing <input type="checkbox"/> Supplemental Declaration Submitted <input type="checkbox"/> Declaration Submitted for Continuation-In-Part Filing <input type="checkbox"/> Declaration Submitted for Divisional Filing		COMPLETE IF KNOWN	
		Application Number	Not Yet Assigned
		Filing Date	Herewith
		Group Art Unit	Not Yet Assigned
		Examiner Name	Not Yet Assigned

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

System And Method For The Automated Brokerage Of Financial Instruments

(Title of the Invention)

the specification of which

is attached hereto

OR

was filed on (MM/DD/YYYY) as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?
			<input type="checkbox"/>	YES <input type="checkbox"/> NO <input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

2201657

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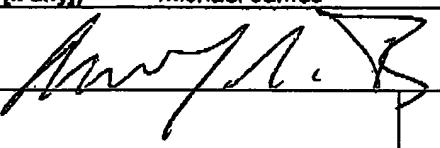
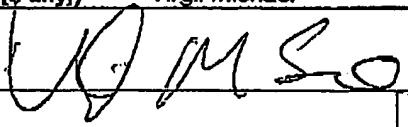


DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/>	Customer Number or Bar Code Label	*21888*	OR <input type="checkbox"/> Correspondence address below
		21888	

Name	Benjamin L. Volk, Jr.			
Address	Thompson Coburn LLP, One US Bank Plaza, Suite 3500			21888 PATENT TRADEMARK OFFICE
City	St. Louis	State	MO	ZIP 63101-9928
Country	USA	Telephone	314-552-6000	Fax 314-552-7000

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that wilful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such wilful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])	Michael James	Family Name or Surname	Tully				
Inventor's Signature			Date 10/22/03				
Residence: City	Maryland Heights	State	MO	Country	USA	Citizenship	United Kingdom
Mailing Address 12136 Wesmeade							
City	Maryland Heights	State	MO	ZIP	63043	Country	USA
NAME OF SECOND INVENTOR :		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])	Virgil Michael	Family Name or Surname	Scott				
Inventor's Signature			Date 10/22/03				
Residence: City	Wildwood	State	MO	Country	USA	Citizenship	United States
Mailing Address 2527 Balaji Court							
City	Wildwood	State	MO	ZIP	63011	Country	USA

Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.



Please type a plus sign (+) inside this box →

PTO/SB/02A (11-00)

Approved for use through 10/31/2002. OMB 0651-0032
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DECLARATION

ADDITIONAL INVENTOR(S)

Supplemental Sheet

Page 1 of 1

Name of Additional Joint Inventor, if any:

A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])

Dwayne Oliver

Family Name or Surname

Randle

Inventor's Signature

Date 10/22/2003

Residence: City Bridgeton

State MO

Country USA

Citizenship United States

Mailing Address 11847 Brookington Drive

Mailing Address

City Bridgeton

State MO

ZIP 63044

Country USA

Name of Additional Joint Inventor, if any:

A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])

Gregory Paul

Family Name or Surname

Lembree

Inventor's Signature

Date 10/22/2003

Residence: City O'Fallon

State MO

Country USA

Citizenship United States

Mailing Address 759 Falcon Hill Trail

Mailing Address

City O'Fallon

State MO

ZIP 63366

Country USA

Name of Additional Joint Inventor, if any:

A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])

Family Name or Surname

Inventor's Signature

Date

Residence: City

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PATENT
EXPRESS MAIL NO. EV328618216US

SYSTEM AND METHOD FOR THE AUTOMATED BROKERAGE
OF FINANCIAL INSTRUMENTS

Field of the Invention:

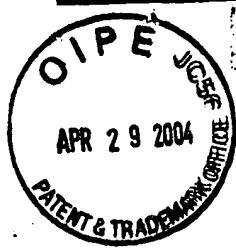
The present invention relates to an automated electronic system for processing orders from investors for transactions of financial instruments and supplying financial account information to investors.

5

Background and Summary of the Invention:

In the present day, investors are discovering that computers and, in particular, computer networks such as the Internet, are a particularly useful tool for managing and tracking their financial 10 investment portfolio. Whether it is an individual investor seeking to occasionally buy or sell stocks, bonds, or other financial instruments; a day trader conducting numerous such transactions each day; or a professional investor such as a licensed broker who manages the financial portfolios of numerous clients; access via a computer 15 network to financial markets to conduct these transactions is now and increasingly more so in the future an important channel for execution of this business.

Thus, a need in the art has developed for an infrastructure that both supports access to the financial markets and provides fast



Title: System And Method For The Automated
Inventor(s): Brokerage Of Financial Instruments
Express Mail No.: Tully et al.
Docket #: EV328618216US
36194/42366
1 / 39

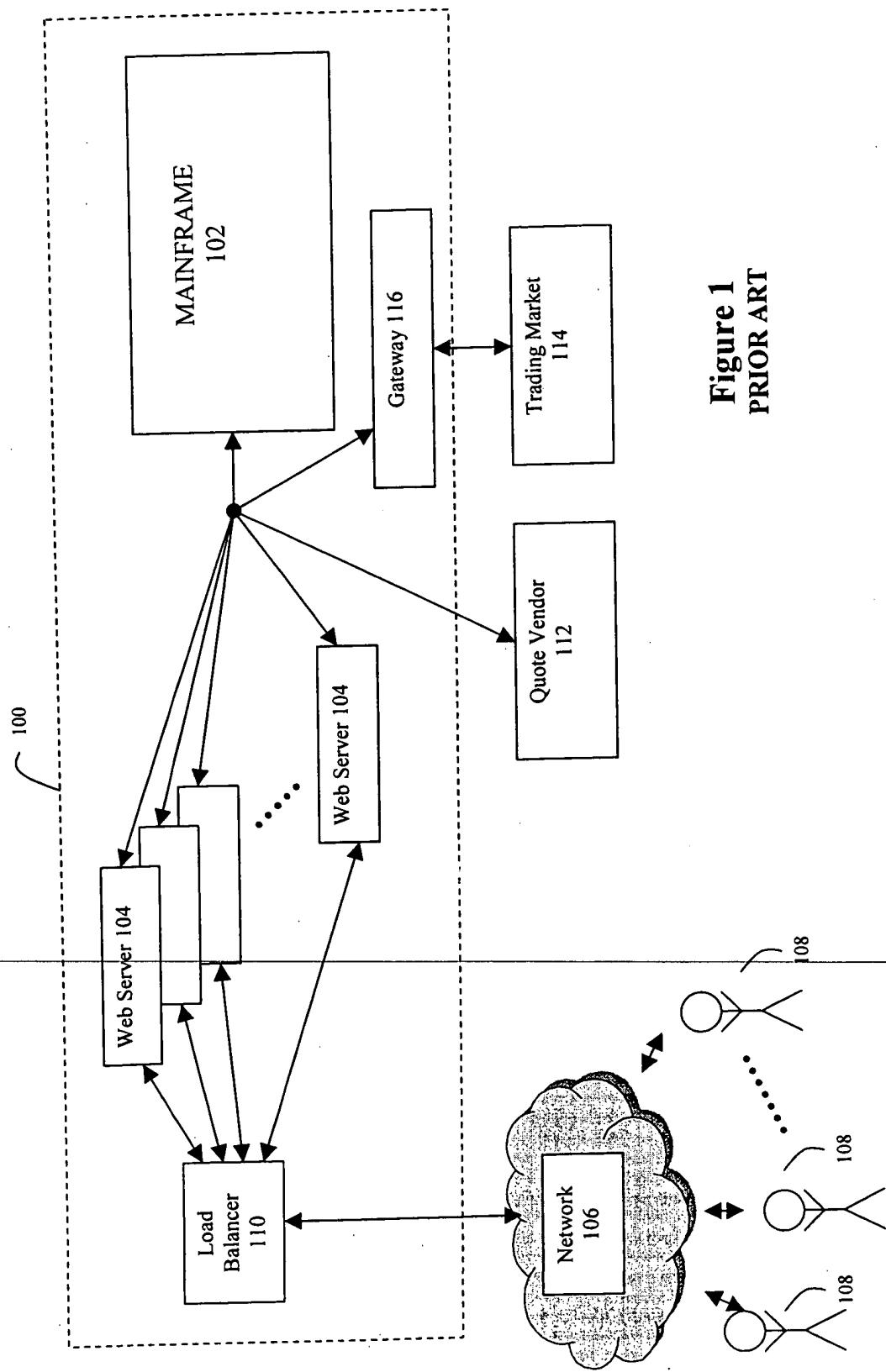


Figure 1
PRIOR ART

Figure 2 - Basic Configuration

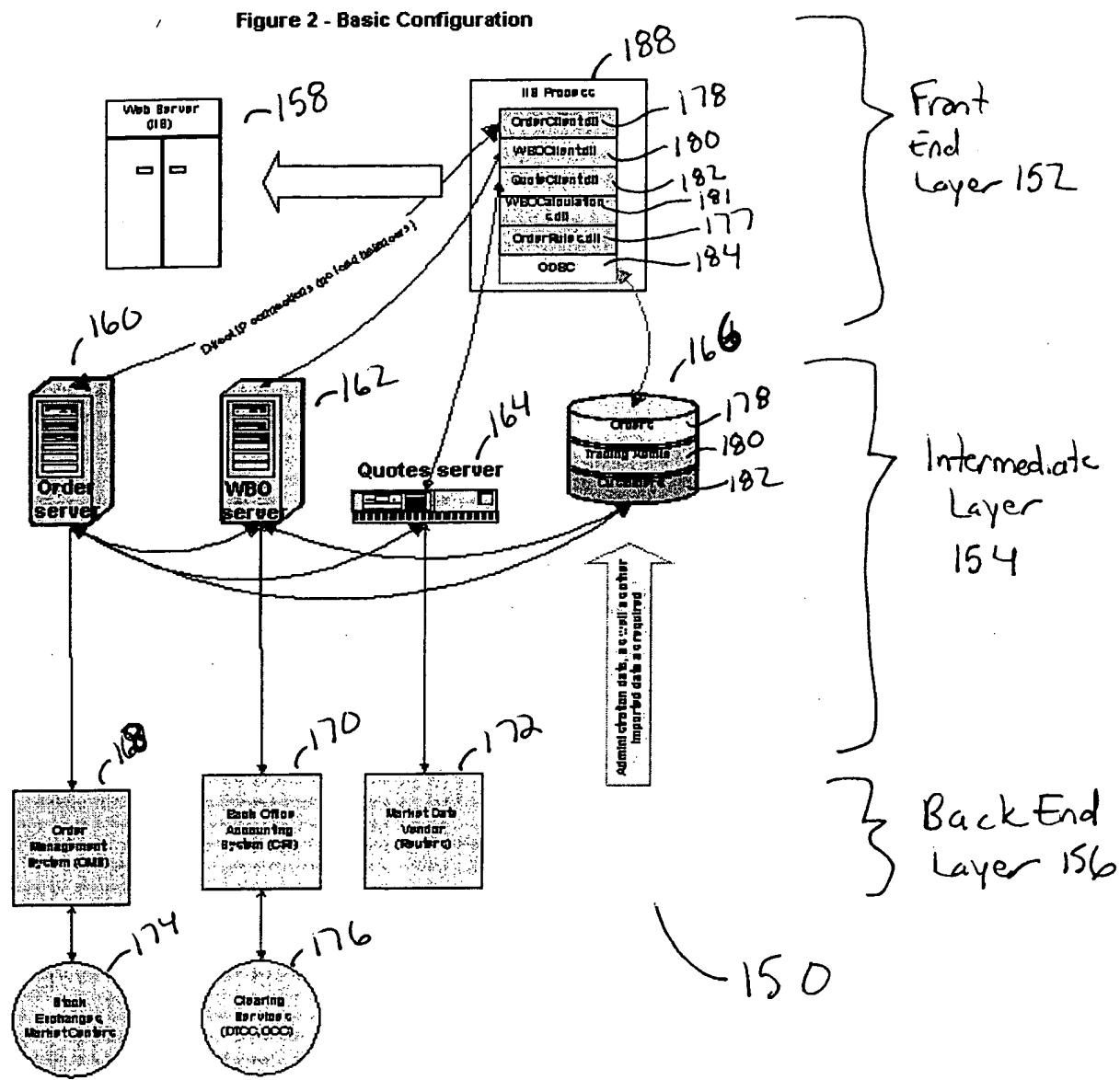
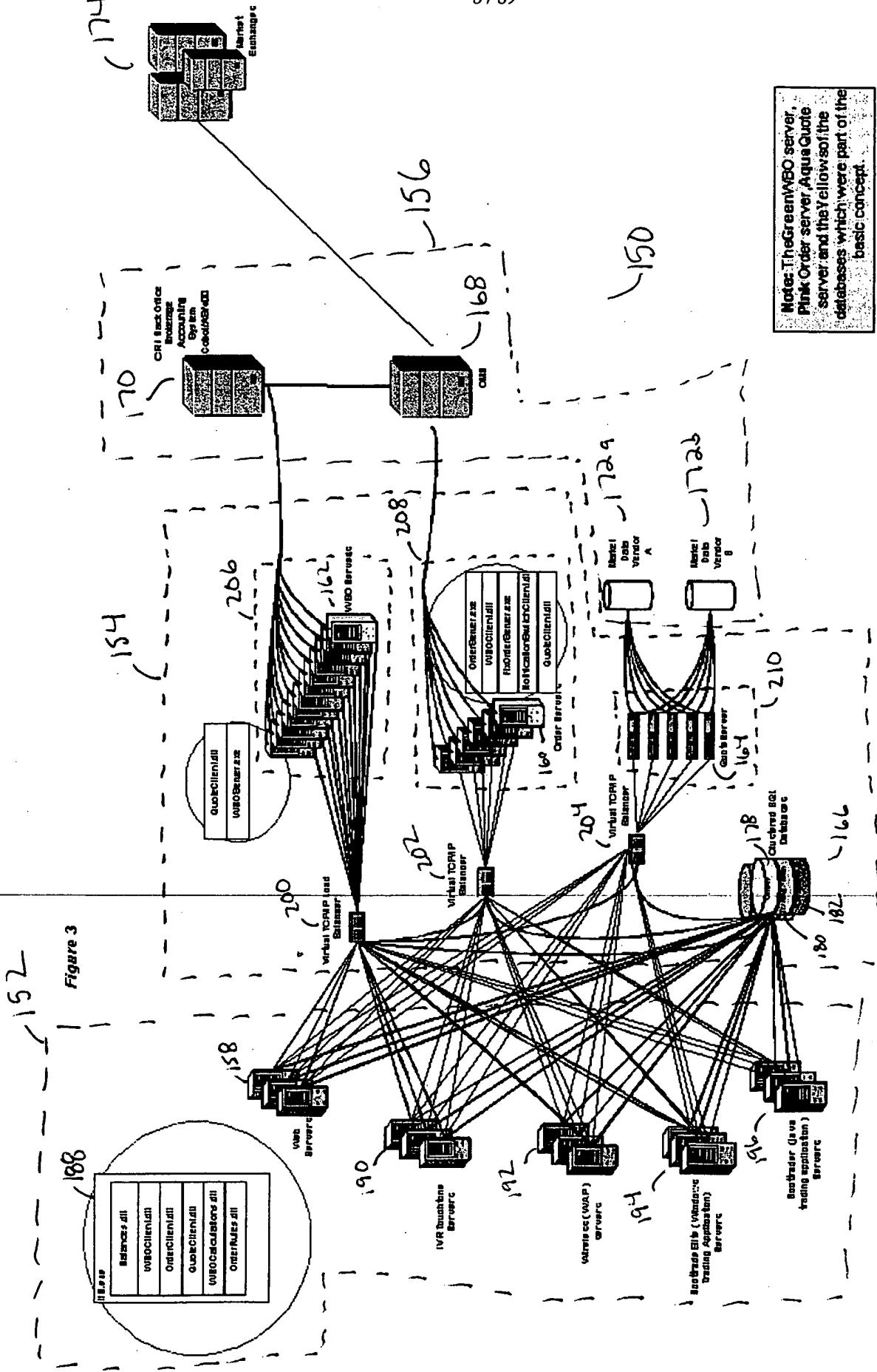


Figure 3



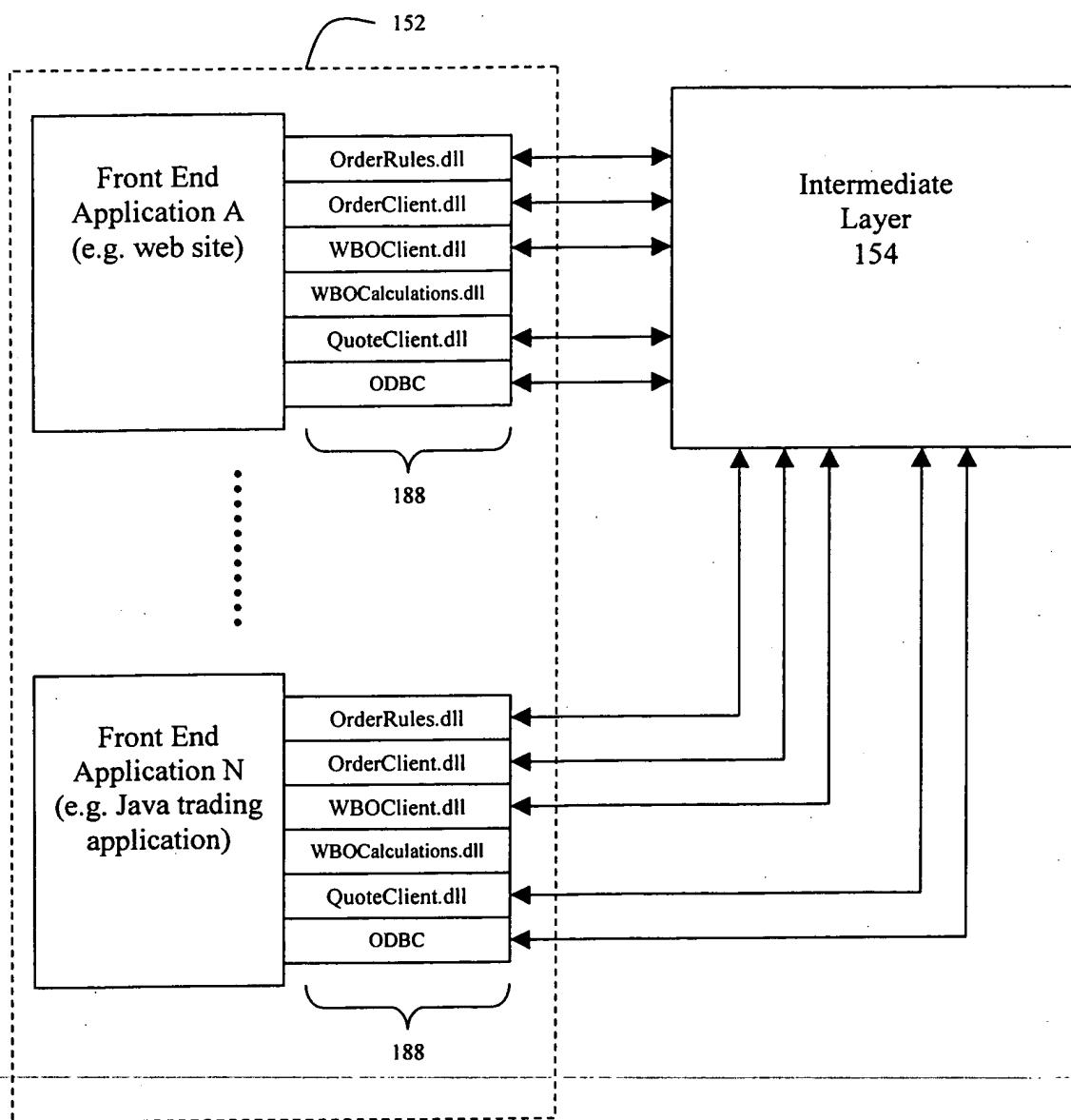


Figure 4

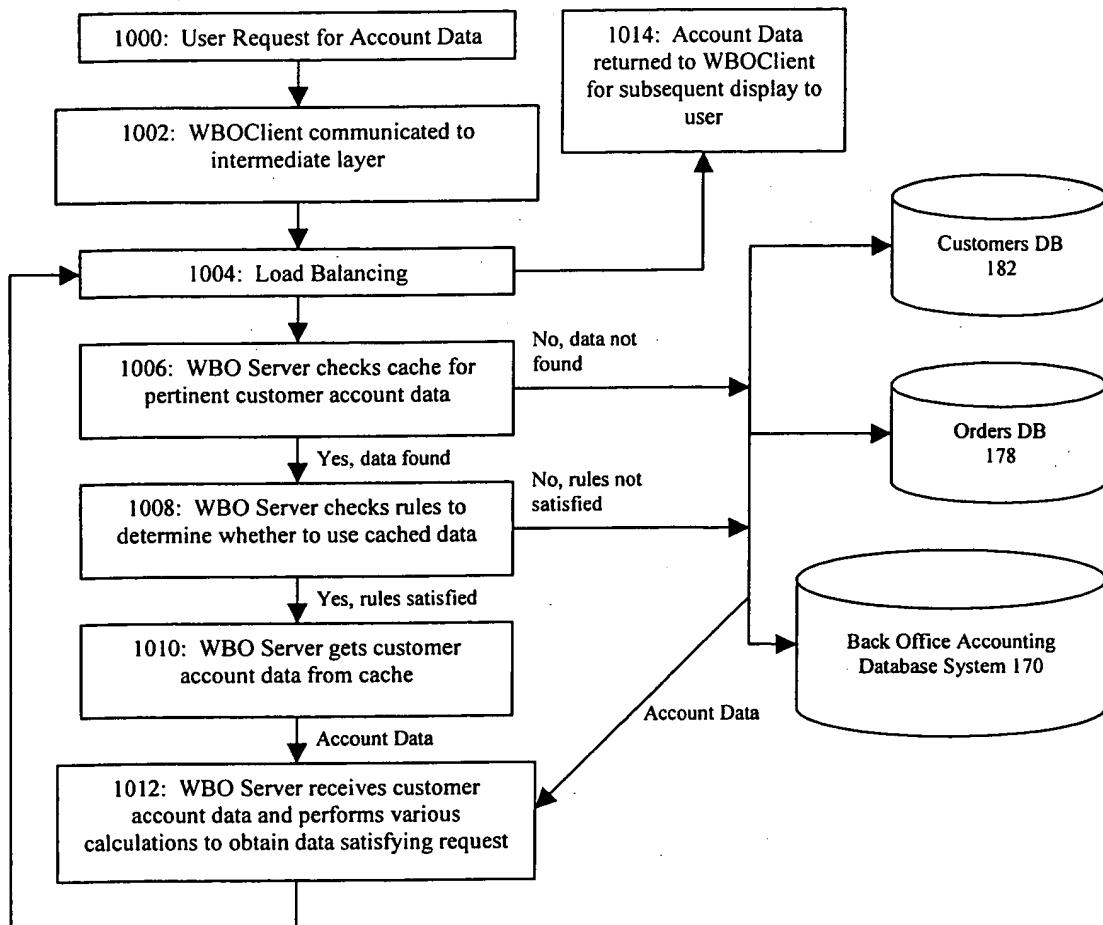


Figure 5

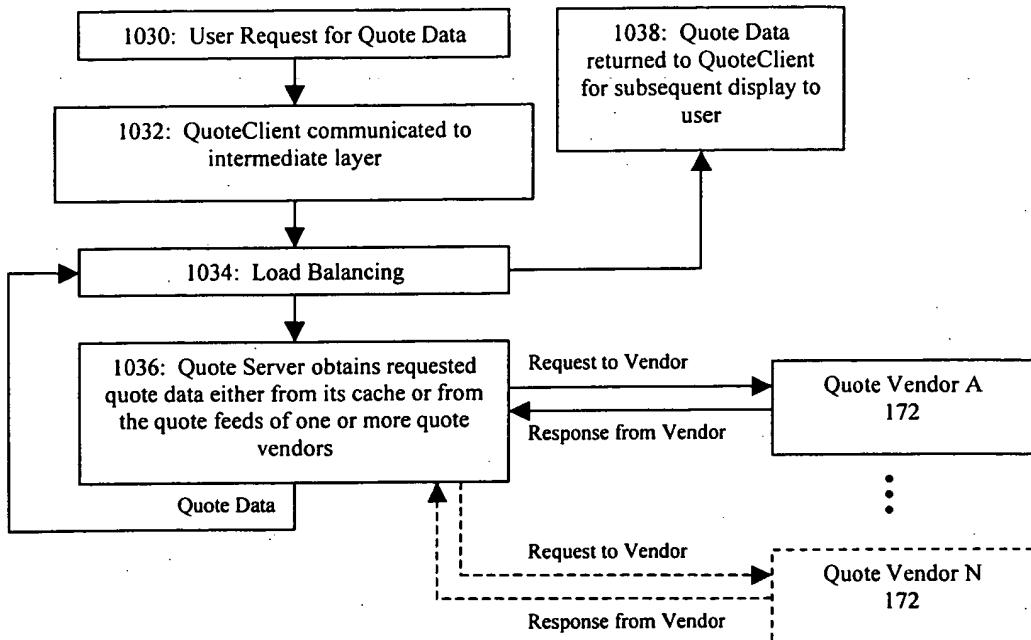
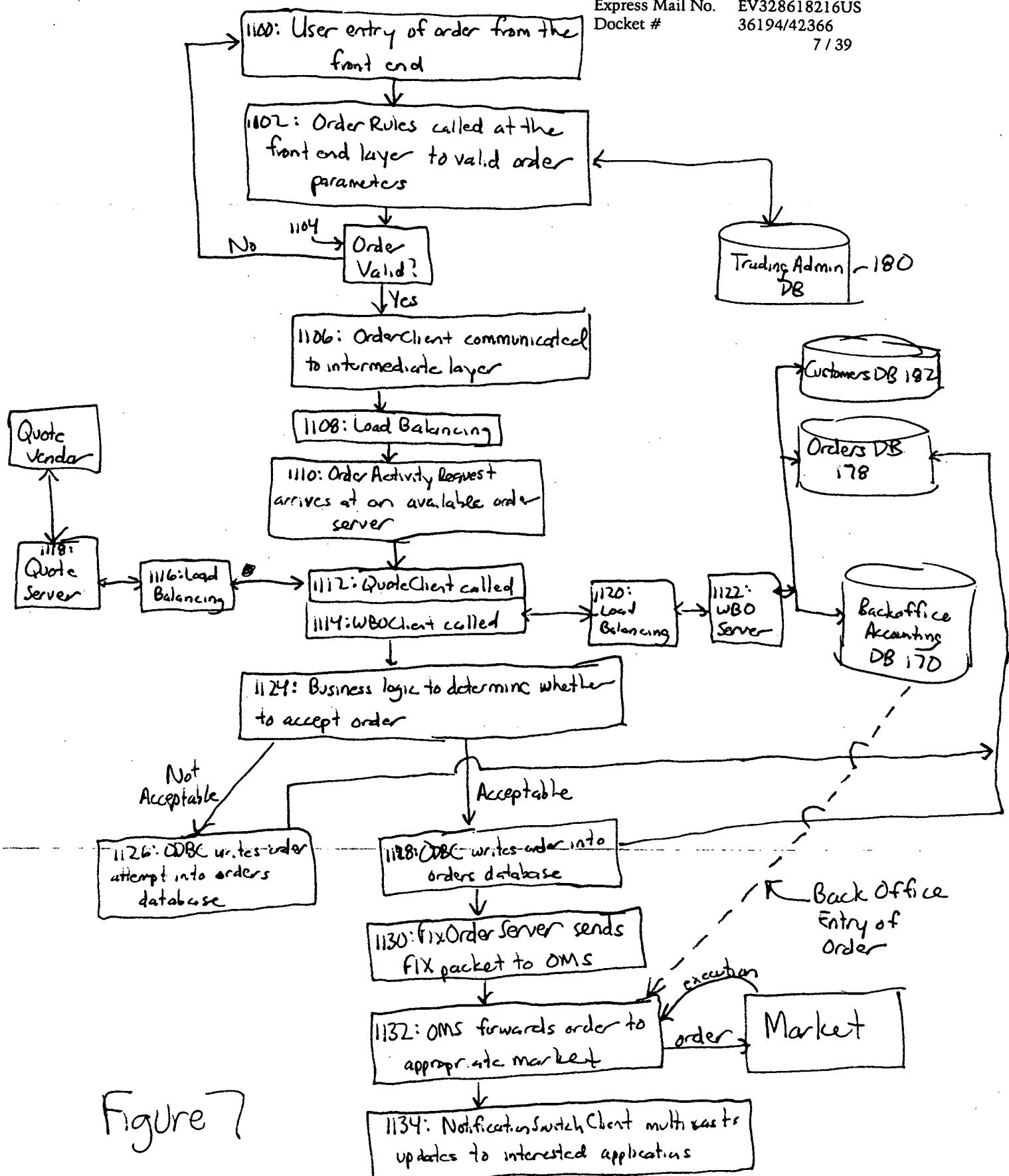


Figure 6



Title: System And Method for The Automated Brokerage Of Financial Instruments
 Inventor(s): Tully et al.
 Express Mail No. EV328618216US
 Docket # 36194/42366
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Wei
 C. Tully
 10/14/03

Welcome to Scottrade Financial Services

New Messages Today

Real-Time Market Indicies - October 13, 2003 4:47 PM EST

U.S. Markets Closed

S&P 500	DJIA	NASDAQ
1045.35 +7.29	9764.38 +89.70	1993.50 +18.20

Real-Time Account Information

Portfolio Value as of Previous Close	\$ 163.08	Help
Current Net Balance (Cash + Unsettled Funds)	\$ 304.82	Help
Total Account Value	\$ 467.90	Help

Trading Cash

Cash / Settled Funds	\$ 304.82	Help
Unsettled Funds	\$ 0.00	Help
Current Net Balance	\$ 304.82	Help
Trading Cash	\$ 304.82	Help

* This account is not Restricted

Real-Time Positions

Symbol	Qty	Acct Type	Quote	Value
ESQ	5	CASH	21.00	105.00
MSI	2	CASH	28.78	57.56
EWB	1	CASH	1.27	1.27
Total Market Value				\$ 163.83

Symbol: Detailed Quote

Quick Links

Internet

Scottrade

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Account # 78-51712

First Steps Deposit Funds eCheck Wireless

New Corporate Offerings Introducing Scottrade Elite NEW! Scottrade Elite

NEW FEATURES

Tutorial - Features of Scottrade

CURRENT MARKETS

Scottrade Streaming Quotes Market Indices Top Ten Briefing.com Charge Accounts Logout of Trading Site Map

Figure 8(a)

Web Screenshot

figure 8(5)

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Address: https://www1.scottrade.com/EN/wwwRoot/Scottrade.asp

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Current Trade Balances

Account # 78451712

First Steps Deposit Funds eCheck Wireless

NEW! FEATURES

New Corporate Offerings

Introducing ScottradeElite

NEW! ScottradeElite

CURRENT MARKETS

Scottrader Streaming Quotes Market Indices Top Ten Briefing.com Change Accounts Logon of Trading Site Map

October 13, 2003

Description	Value	Help
Portfolio Value as of Previous Close	\$ 163.08	Help
Current Net Balance	\$ 304.82	Help
Total Account Value	\$ 467.90	Help
Cash / Settled Funds \$ 304.82		Help
Today's Settled Funds	\$ 304.82	Help
Unsettled Stock Sells	\$ 0.00	Help
Unsettled Option Sells	\$ 0.00	Help
Unsettled Other Sells	\$ 0.00	Help
Unsettled Total Sales	\$ 0.00	Help
Unsettled Total Buys	\$ 0.00	Help
Current Net Balance	\$ 304.82	Help
Trading Cash		Help
Open Buy Orders	\$ 15.00	Help
Trading Cash	\$ 289.82	Help
Trading Cash for Fixed Income / Mutual Funds Purchases	\$ 289.82	Help
Click the Helps for information on how you are able to use these funds for Buys.		
Today's Trades - You can see settlement dates for your trades today by clicking on Today's Real-Time Executions found on your Home page.		
Previous Trades - You can see settlement dates for past trades by going to Account Information and then to your Trade History.		

Symbol: Detailed Quote

File:

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Title:

Inventor(s)
Express Mail No.
Docket #

System And Method For The Automated
Brokerage Of Financial Instruments
Tully et al.
EV328618216US
36194/42366

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Web
Customer
Interface

Current Open Orders & Real-Time Executions

MOD	CKL	Action	Qty	Symbol	Price	Acct Type	TIF	Qualifiers	Order	Status	Session
MOD	SELL	SELL	2	MSFT	Limit: 40.00	CASH	DAY	None	XIA242520031013	QUEUED	Regular
MOD	SELL	BUY	1	RTRSY	Limit: 15.00	CASH	DAY	None	XAB736120031013	QUEUED	Regular

Help

Today's Real-Time Executions

None

Help

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Scottrade

Account # 78461712

- First Steps
- Deposit Funds
- eCheck
- Wireless
- NEW FEATURES
- New Corporate Offerings
- Tutorial - Features of Scottrade
- Introducing Scottrade Elite
- NEW! Scottrade Elite
- CURRENT MARKETS
- Scottrade Streaming Quotes
- Market Indices
- Top Ten
- Briefing.com
- Change Accounts
- Logout of Trading
- Site Map

Symbol: Detailed Quote

Quick Links

Help

Internet

Done

Title

Inventor(s)
Express Mail No.
Docket #

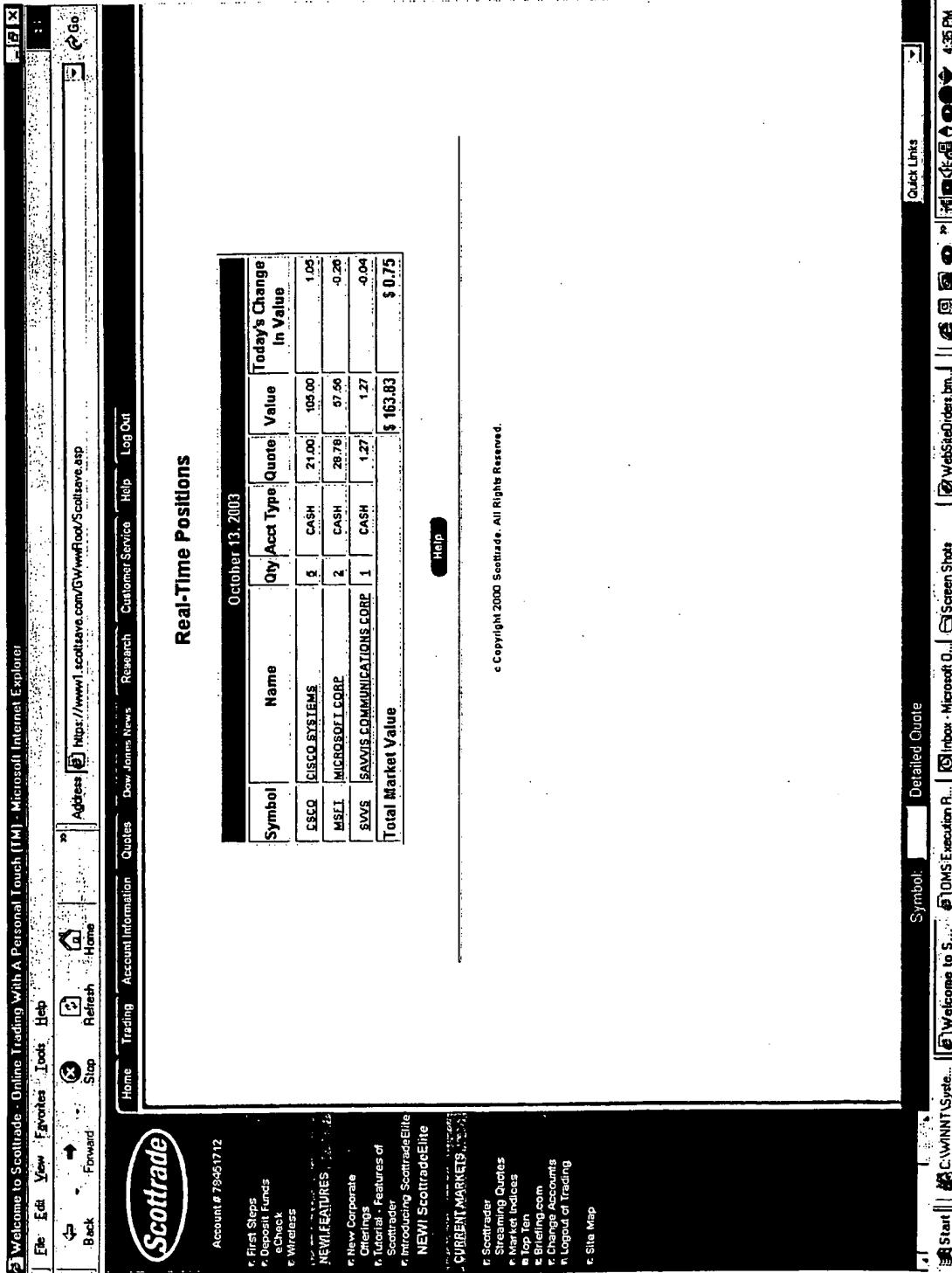
System And Method For The Automated Brokerage Of Financial Instruments

Tully et al.
EV328618216US
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Figure 8(d)

Labs
Customer
Invoices



Title:

Inventor(s):
Express Mail No.
Docket #

System And Method for The Automated
Brokerage Of Financial Instruments
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Figure 8(e)

Scottrade

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Help

Address: https://www.scottrade.com/GWwwwRoot/Scottrade.asp

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Equity Order Entry

Account # 78351712

TRADES: Equities Options Mutual Funds Fixed Income Open Orders & Executions

LOOKUP: Equity Class Option Symbol Trading Help Touch Tone Guide Site Map

Market Side: Buy Help
Quantity: 1 Help
Symbol: GE Help
Order Type: Market Help
Limit Price: Help
Stop Price: Help
Time In Force: Day Order Help
Qualifiers: All or None Help
Trading Period: Regular Hours Help

Get Quote Confirm Abandon

Quick Links:

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file:///C:/Documents%20and%20Settings/millerkl/Local%20Settings/Temporary%20Internet%20Temporary%20Files/OLK6/WebSite/Trading1.jpg

10/14/2003

(Figure 8(f))

Scottrade - Online Trading with A Personal Touch (TM) - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Address: https://www1.scottrade.com/5WebTools/Scottrade.asp

Home Refresh Stop Home

Home Trading Account Information Quotes Dow Jones News Research Customer Service Help Log Out

Equity Order Entry

Are you sure you want to submit this order?

Symbol	Last	Change	Bid	Ask	Size	High	Low	Volume	Market
GE	+28.93	-0.39	28.92	28.94	347 x 12	29.97	28.65	29,556,300	NYSE

Market Side: **Buy**

Quantity: **1**

Symbol: **GE**

Price: **At the Market**

Time in Force: **Day Order**

Estimated Commission: **\$7.00**

Trading Period: **Regular Hours**

Account Number: **78451712**

Password:

Submit Edit Abandon Help

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Quick Links Internet

Symbol: Detailed Quote Done

Scottrade

Account # 78451712

TRADES

- Equities
- Options
- Mutual Funds
- Fixed Income
- Open Orders & Executions

LOOKUP

- Equity
- Option Class
- Option Symbol
- Trading Help
- Touch Tone Guide
- Site Map

Inventor
Express Mail No.
Docket #

System And Method For The Automated
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Figure 8(g)

Web
Customer
Interface

Scottrade

Welcome to Scottrade - Online Trading With A Personal Touch (TM) - Microsoft Internet Explorer

File Edit Favorites Tools Help

Back Forward Stop Refresh Home

Address: https://www1.scottrade.com/GW/wwwRoot/Scottrade.asp

Home Trading Account Information Quotes Research Dow Jones News Customer Service Help Log Out

Your order has been entered subject to broker approval.

Market Side:	Buy
Quantity:	1
Symbol:	GE
Price:	At the Market
Time in Force:	Day Order
Estimated Commission:	\$7.00
Account Number:	7845712
Account Type:	CASH

Your reference number is: XXB328920031013

Any order entered after market close is good for the next business day.

Help

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Quick Links

Symbol: Detailed Quote



Figure 9(a)



Figure 9(b)



Figure 9(c)



Figure 9(d)

Title:

System And Method For The Automated

Brokerage Of Financial Instruments

Tully et al.

Inventor:

EV328618216US

Express Mail No.

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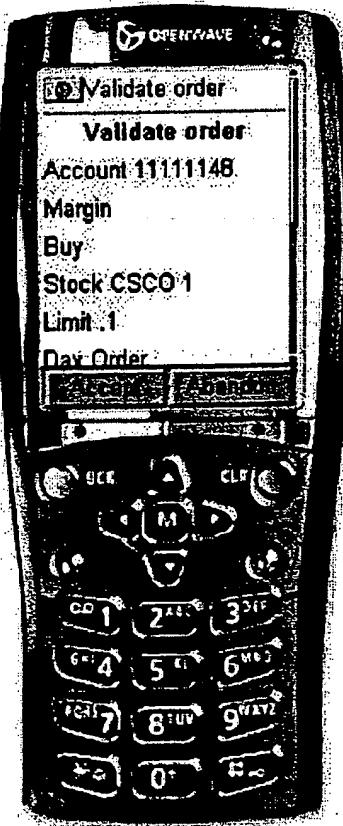


Figure 9 (d)

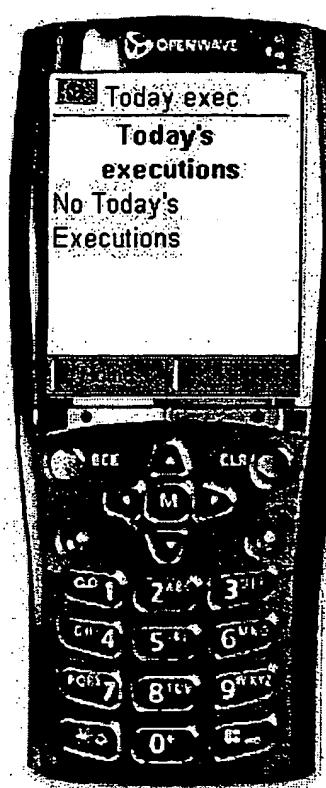


Figure 9 (f)



Figure 9 (g)

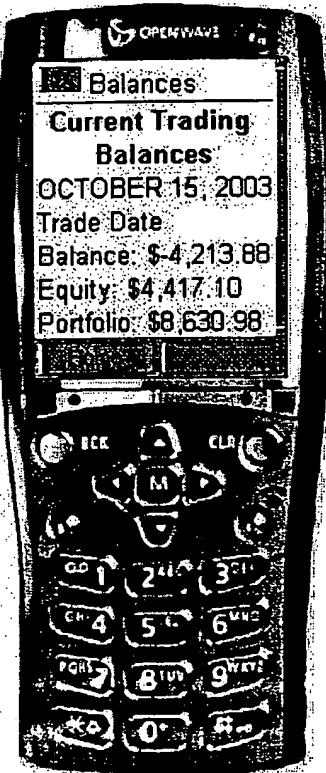


Figure 9 (h)

Inventor(s): Tully et al.
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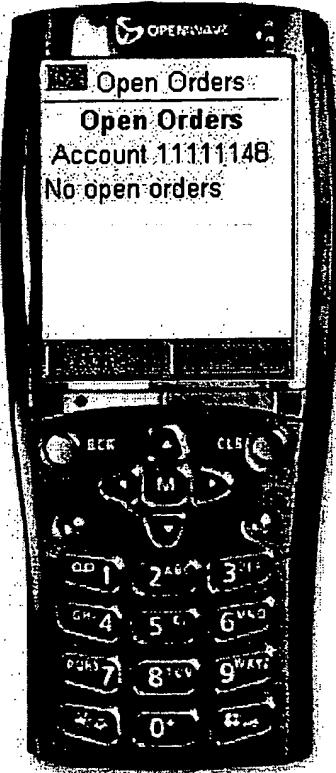


Figure 9(i)



Figure 9(j)

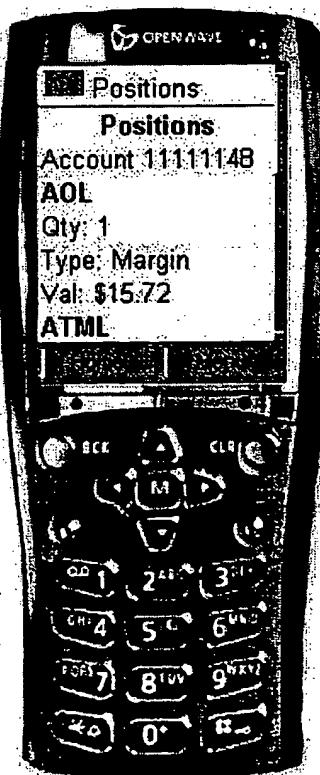


Figure 9(k)



Figure 9(l)

Title:

System And Method for The Automated
Brokerage Of Financial Instruments

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Docket #

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Figure 9(m)



Figure 9(n)

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Figure 10

Title:

System And Method For The Automated

Brokerage Of Financial Instruments

Inventor(s):

Tully et al.

Express Mail No.

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Customer

Java

Figure 11

Scottrader

Scottrader 3.1 Email support: scottrader@scottrader.com

Stream - Active

Account [3:45:17:12] Symbols [3:20] Watchlist [0:5] Charts [0:5] Tools [0:5]

Market Summary - 17:44:45

Market	Symbol	Price	Change	Time	PrevClose	%Change
DJIA	9163.38	+18.70			28.91	+0.5%
S&P500	1933.5	+18.20			20.79	+0.5%
NASDAQ	1045.35	+7.20			13.44	+0.5%
SmallCap					1.31	+0.5%
Composite	17:44:38				16.03:00	+0.5%
Composite	17:44:35				16.03:00	+0.5%
Composite	17:44:32				16.03:00	+0.5%
Composite	17:44:29				16.03:00	+0.5%
Composite	17:44:26				16.03:00	+0.5%
Composite	17:44:23				16.03:00	+0.5%
Composite	17:44:20				16.03:00	+0.5%
Composite	17:44:17				16.03:00	+0.5%
Composite	17:44:14				16.03:00	+0.5%
Composite	17:44:11				16.03:00	+0.5%
Composite	17:44:08				16.03:00	+0.5%
Composite	17:44:05				16.03:00	+0.5%
Composite	17:44:02				16.03:00	+0.5%
Composite	17:44:00				16.03:00	+0.5%
Composite	17:43:57				16.03:00	+0.5%
Composite	17:43:54				16.03:00	+0.5%
Composite	17:43:51				16.03:00	+0.5%
Composite	17:43:48				16.03:00	+0.5%
Composite	17:43:45				16.03:00	+0.5%
Composite	17:43:42				16.03:00	+0.5%
Composite	17:43:39				16.03:00	+0.5%
Composite	17:43:36				16.03:00	+0.5%
Composite	17:43:33				16.03:00	+0.5%
Composite	17:43:30				16.03:00	+0.5%
Composite	17:43:27				16.03:00	+0.5%
Composite	17:43:24				16.03:00	+0.5%
Composite	17:43:21				16.03:00	+0.5%
Composite	17:43:18				16.03:00	+0.5%
Composite	17:43:15				16.03:00	+0.5%
Composite	17:43:12				16.03:00	+0.5%
Composite	17:43:09				16.03:00	+0.5%
Composite	17:43:06				16.03:00	+0.5%
Composite	17:43:03				16.03:00	+0.5%
Composite	17:43:00				16.03:00	+0.5%
Composite	17:42:57				16.03:00	+0.5%
Composite	17:42:54				16.03:00	+0.5%
Composite	17:42:51				16.03:00	+0.5%
Composite	17:42:48				16.03:00	+0.5%
Composite	17:42:45				16.03:00	+0.5%
Composite	17:42:42				16.03:00	+0.5%
Composite	17:42:39				16.03:00	+0.5%
Composite	17:42:36				16.03:00	+0.5%
Composite	17:42:33				16.03:00	+0.5%
Composite	17:42:30				16.03:00	+0.5%
Composite	17:42:27				16.03:00	+0.5%
Composite	17:42:24				16.03:00	+0.5%
Composite	17:42:21				16.03:00	+0.5%
Composite	17:42:18				16.03:00	+0.5%
Composite	17:42:15				16.03:00	+0.5%
Composite	17:42:12				16.03:00	+0.5%
Composite	17:42:09				16.03:00	+0.5%
Composite	17:42:06				16.03:00	+0.5%
Composite	17:42:03				16.03:00	+0.5%
Composite	17:42:00				16.03:00	+0.5%
Composite	17:41:57				16.03:00	+0.5%
Composite	17:41:54				16.03:00	+0.5%
Composite	17:41:51				16.03:00	+0.5%
Composite	17:41:48				16.03:00	+0.5%
Composite	17:41:45				16.03:00	+0.5%
Composite	17:41:42				16.03:00	+0.5%
Composite	17:41:39				16.03:00	+0.5%
Composite	17:41:36				16.03:00	+0.5%
Composite	17:41:33				16.03:00	+0.5%
Composite	17:41:30				16.03:00	+0.5%
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Composite	17:41:09				16.03:00	+0.5%
Composite	17:41:06				16.03:00	+0.5%
Composite	17:41:03				16.03:00	+0.5%
Composite	17:41:00				16.03:00	+0.5%
Composite	17:40:57				16.03:00	+0.5%
Composite	17:40:54				16.03:00	+0.5%
Composite	17:40:51				16.03:00	+0.5%
Composite	17:40:48				16.03:00	+0.5%
Composite	17:40:45				16.03:00	+0.5%
Composite	17:40:42				16.03:00	+0.5%
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Composite	17:40:27				16.03:00	+0.5%
Composite	17:40:24				16.03:00	+0.5%
Composite	17:40:21				16.03:00	+0.5%
Composite	17:40:18				16.03:00	+0.5%
Composite	17:40:15				16.03:00	+0.5%
Composite	17:40:12				16.03:00	+0.5%
Composite	17:40:09				16.03:00	+0.5%
Composite	17:40:06				16.03:00	+0.5%
Composite	17:40:03				16.03:00	+0.5%
Composite	17:40:00				16.03:00	+0.5%
Composite	17:39:57				16.03:00	+0.5%
Composite	17:39:54				16.03:00	+0.5%
Composite	17:39:51				16.03:00	+0.5%
Composite	17:39:48				16.03:00	+0.5%
Composite	17:39:45				16.03:00	+0.5%
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Composite	17:39:27				16.03:00	+0.5%
Composite	17:39:24				16.03:00	+0.5%
Composite	17:39:21				16.03:00	+0.5%
Composite	17:39:18				16.03:00	+0.5%
Composite	17:39:15				16.03:00	+0.5%
Composite	17:39:12				16.03:00	+0.5%
Composite	17:39:09				16.03:00	+0.5%
Composite	17:39:06				16.03:00	+0.5%
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Composite	17:38:45				16.03:00	+0.5%
Composite	17:38:42				16.03:00	+0.5%
Composite	17:38:39				16.03:00	+0.5%
Composite	17:38:36				16.03:00	+0.5%
Composite	17:38:33				16.03:00	+0.5%
Composite	17:38:30				16.03:00	+0.5%
Composite	17:38:27				16.03:00	+0.5%
Composite	17:38:24				16.03:00	+0.5%
Composite	17:38:21				16.03:00	+0.5%
Composite	17:38:18				16.03:00	+0.5%
Composite	17:38:15				16.03:00	+0.5%
Composite	17:38:12				16.03:00	+0.5%
Composite	17:38:09				16.03:00	+0.5%
Composite	17:38:06				16.03:00	+0.5%
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Composite	17:37:45				16.03:00	+0.5%
Composite	17:37:42				16.03:00	+0.5%
Composite	17:37:39				16.03:00	+0.5%
Composite	17:37:36				16.03:00	+0.5%
Composite	17:37:33				16.03:00	+0.5%
Composite	17:37:30				16.03:00	+0.5%
Composite	17:37:27				16.03:00	+0.5%
Composite	17:37:24				16.03:00	+0.5%
Composite	17:37:21				16.03:00	+0.5%
Composite	17:37:18				16.03:00	+0.5%
Composite	17:37:15				16.03:00	+0.5%
Composite	17:37:12				16.03:00	+0.5%
Composite	17:37:09				16.03:00	+0.5%
Composite	17:37:06				16.03:00	+0.5%
Composite	17:37:03				16.03:00	+0.5%
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Composite	17:36:48				16.03:00	+0.5%
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Composite	17:36:36				16.03:00	+0.5%
Composite	17:36:33				16.03:00	+0.5%
Composite	17:36:30				16.03:00	+0.5%
Composite	17:36:27				16.03:00	+0.5%
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Composite	17:36:18				16.03:00	+0.5%
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Composite	17:36:12				16.03:00	+0.5%
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Composite	17:36:06				16.03:00	+0.5%
Composite	17:36:03				16.03:00	+0.5%
Composite	17:36:00				16.03:00	+0.5%
Symbol	0.0	0.0	0.0	0.0	0.00 00:00	
Market Side	Quantity	Market Type	Stop Price	TIFF	Outstanding	
Buy	1	Market				
Symbol	Action	Symbol	Quantity	Price	Total	AcctType
Cash	Buy	1	None	Day	163.08	
RFSY	Buy	1	150	Day	304.82	
MSFT	Sell	2	400	Day	487.9	
Symbol	Action	Symbol	Quantity	\$Price	\$Total	
Cash	Buy	1	None	Day	0.0	
RFSY	Buy	1	150	Day	250.88	
MSFT	Sell	2	400	Day	800.00	
Symbol	Action	Symbol	Quantity	\$Price	\$Total	
Cash	Buy	1	None	Day	0.0	
RFSY	Buy	1	150	Day	250.88	
MSFT	Sell	2	400	Day	800.00	
Symbol	Action	Symbol	Quantity	\$Price	\$Total	
Cash</						

Title: System And Method for The Automated
Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
Docket # 36194/42366
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Figure 12 (a)

Title: System And Method For The Automated
Brokerage Of Financial Instruments
Inventor(s): Tully et al.
Express Mail No. EV328618216US
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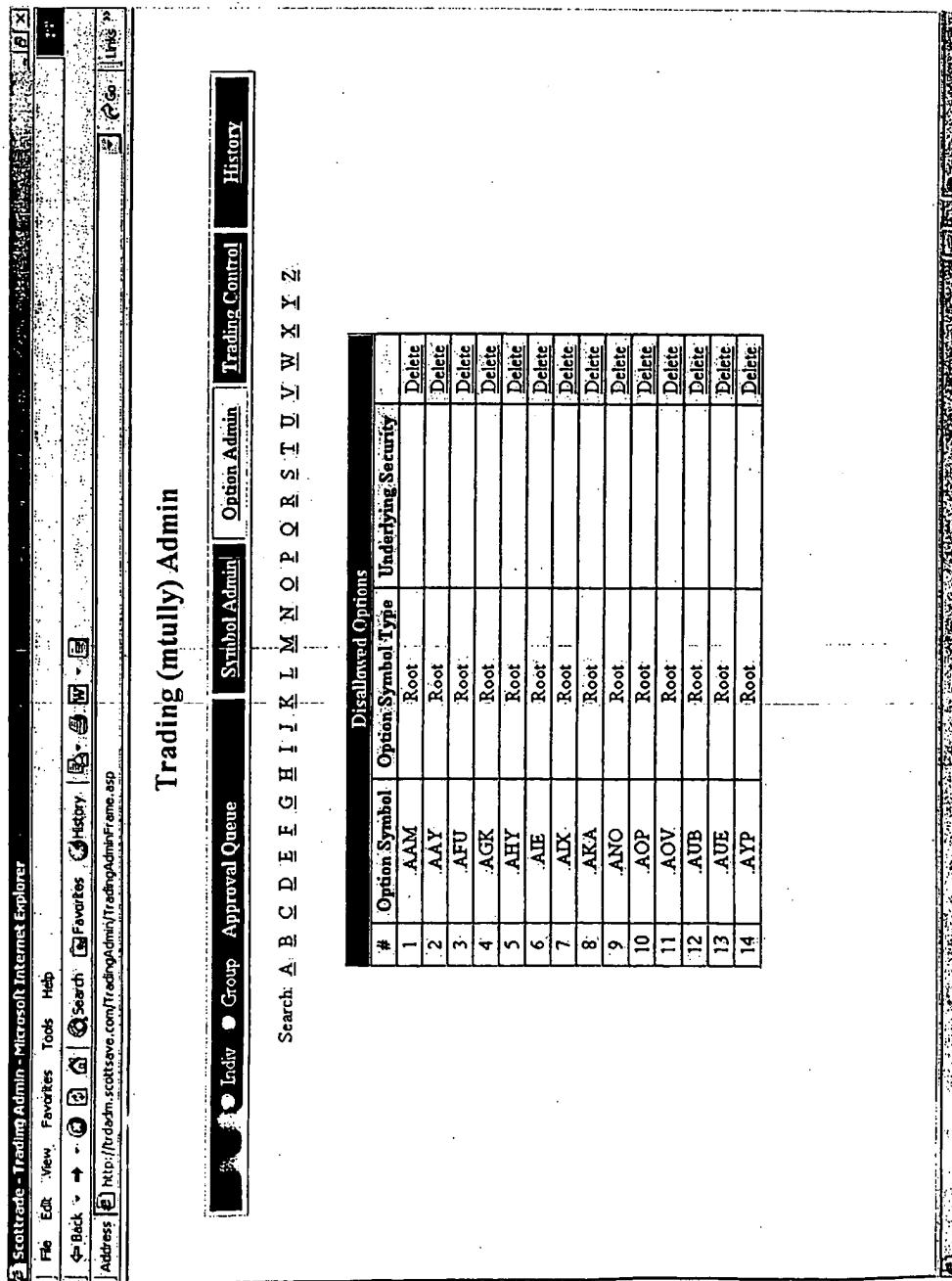


figure 1.2 (b)

Title: _____
Inventor(s): _____
Express Mail No. _____
Docket # _____

System And Method For The Automated
Brokerage Of Financial Instruments
Tully et al.
EV328618216US
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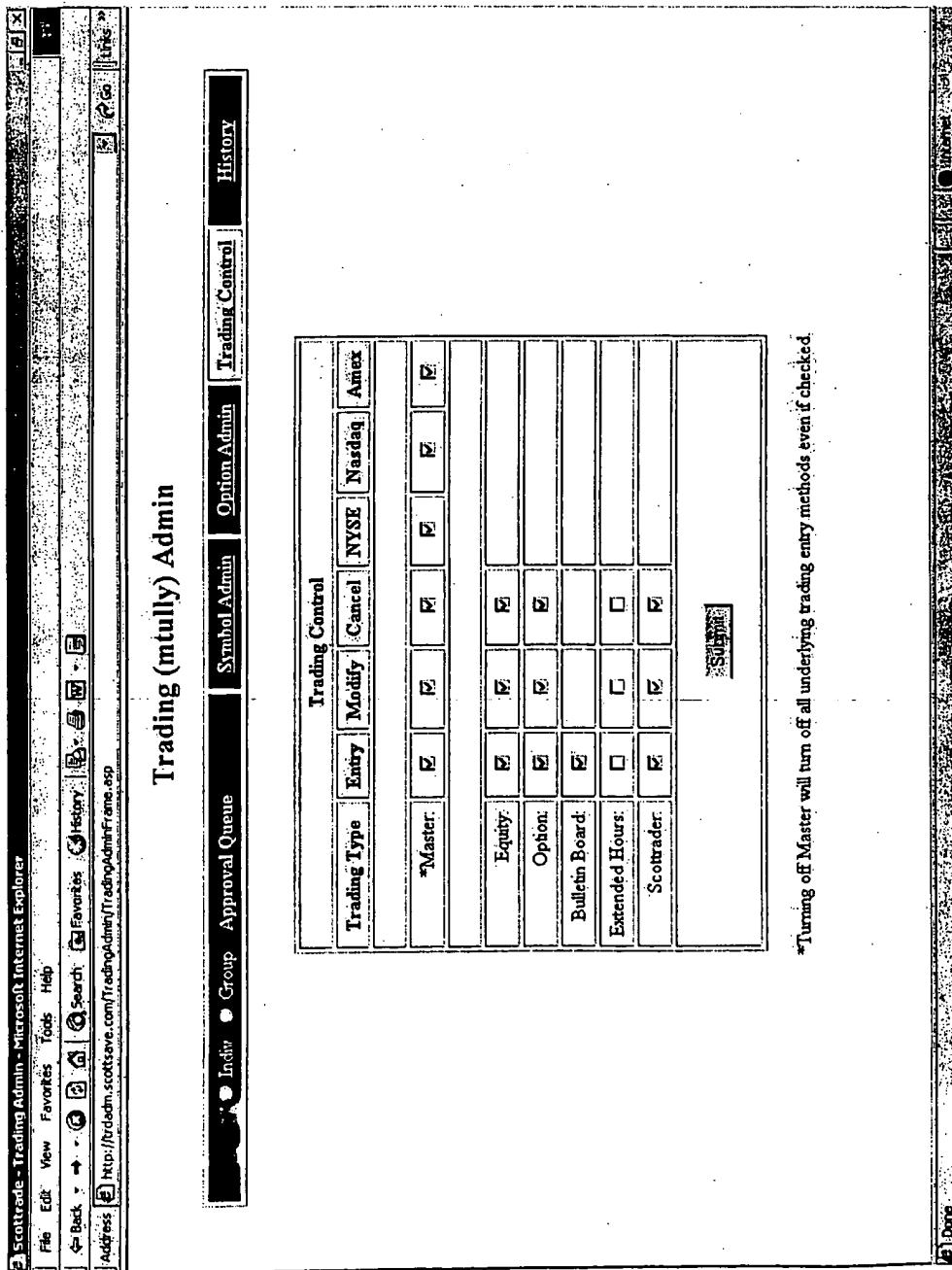
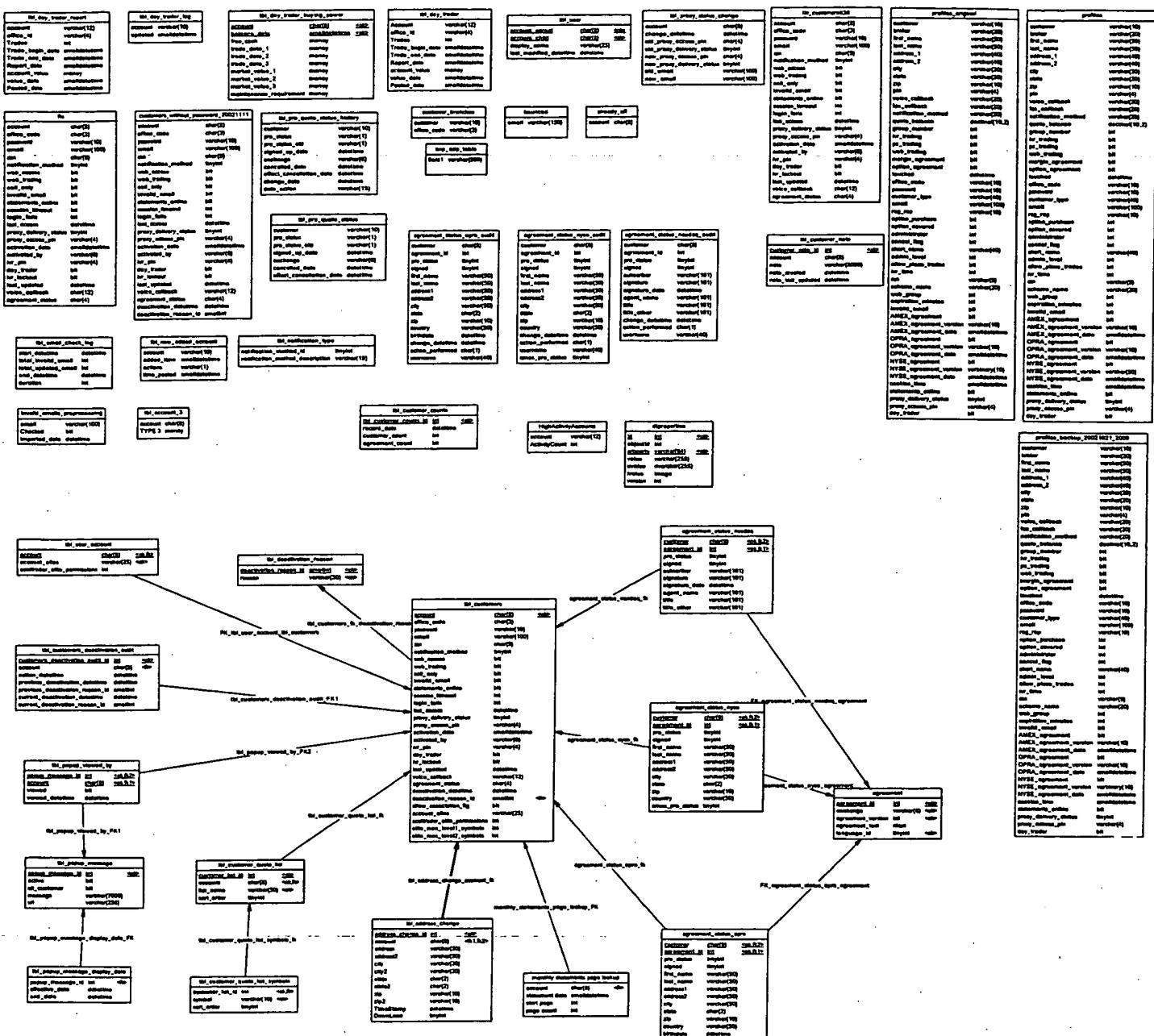


Figure 12(c)



Customers DB

Figure 13

Title:

System And Method For The Automated

Brokerage Of Financial Instruments

Inventor(s):

Tully et al.

Express Mail No.

EV328618216US

Docket #

36194/42366

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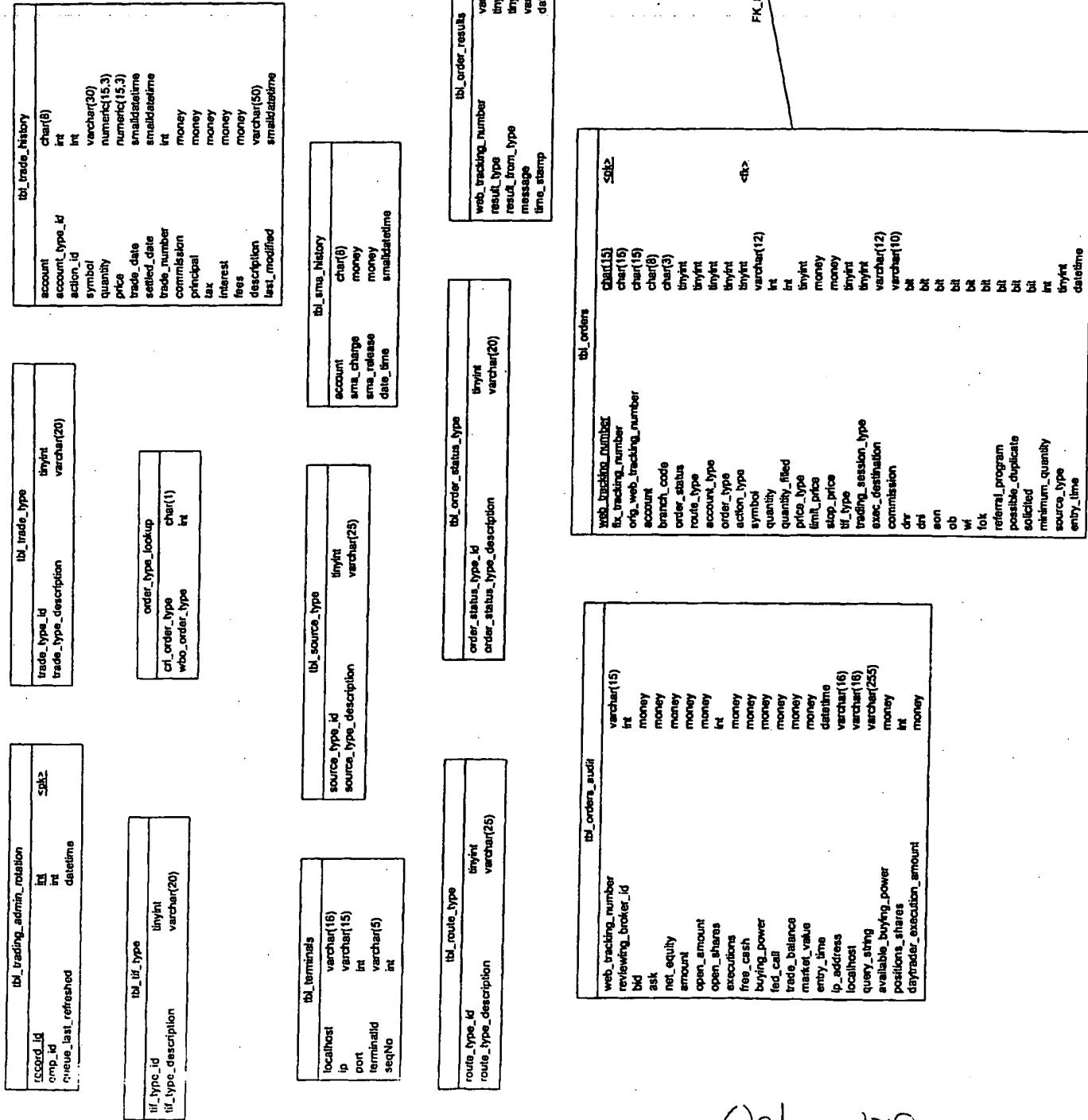


Figure 14(a)

Orders DB 1

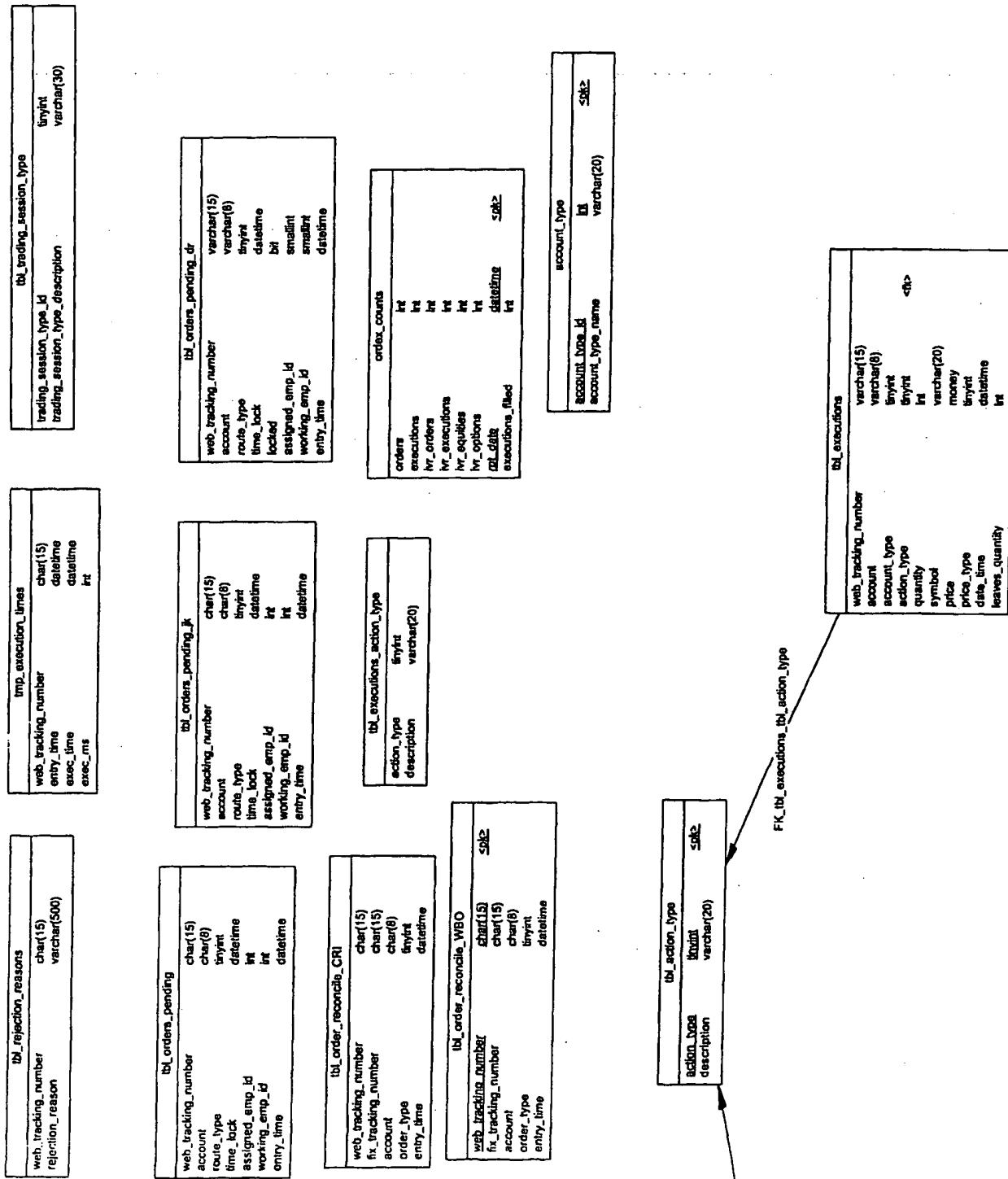


Figure 14(b)

ORDERS DB 2

Title:

Inventor(s):
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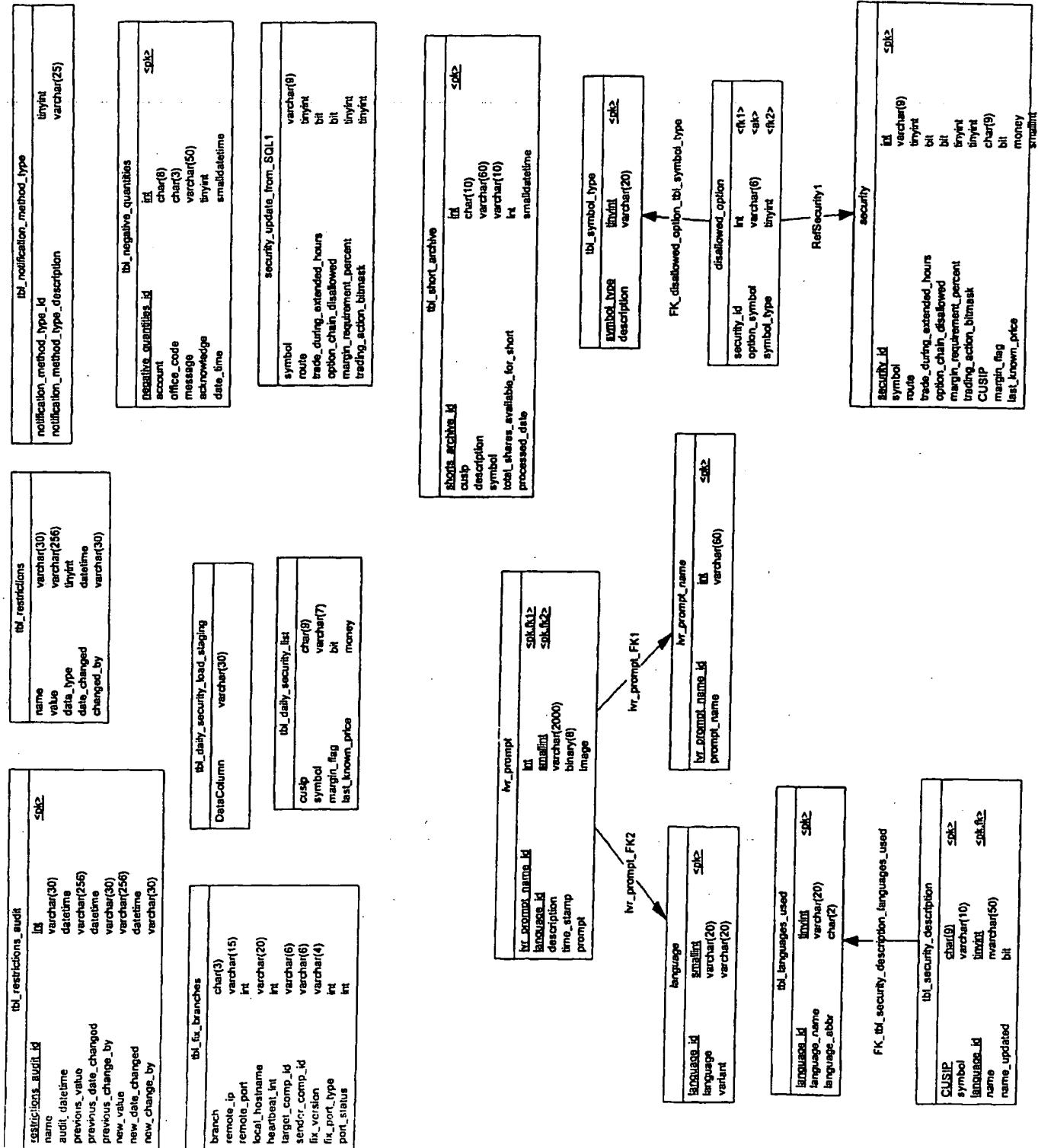


Figure 15(a)

TRADING ADMIN DB 2

Title:

System And Method For The Automated
Brokerage Of Financial InstrumentsInventor(s):
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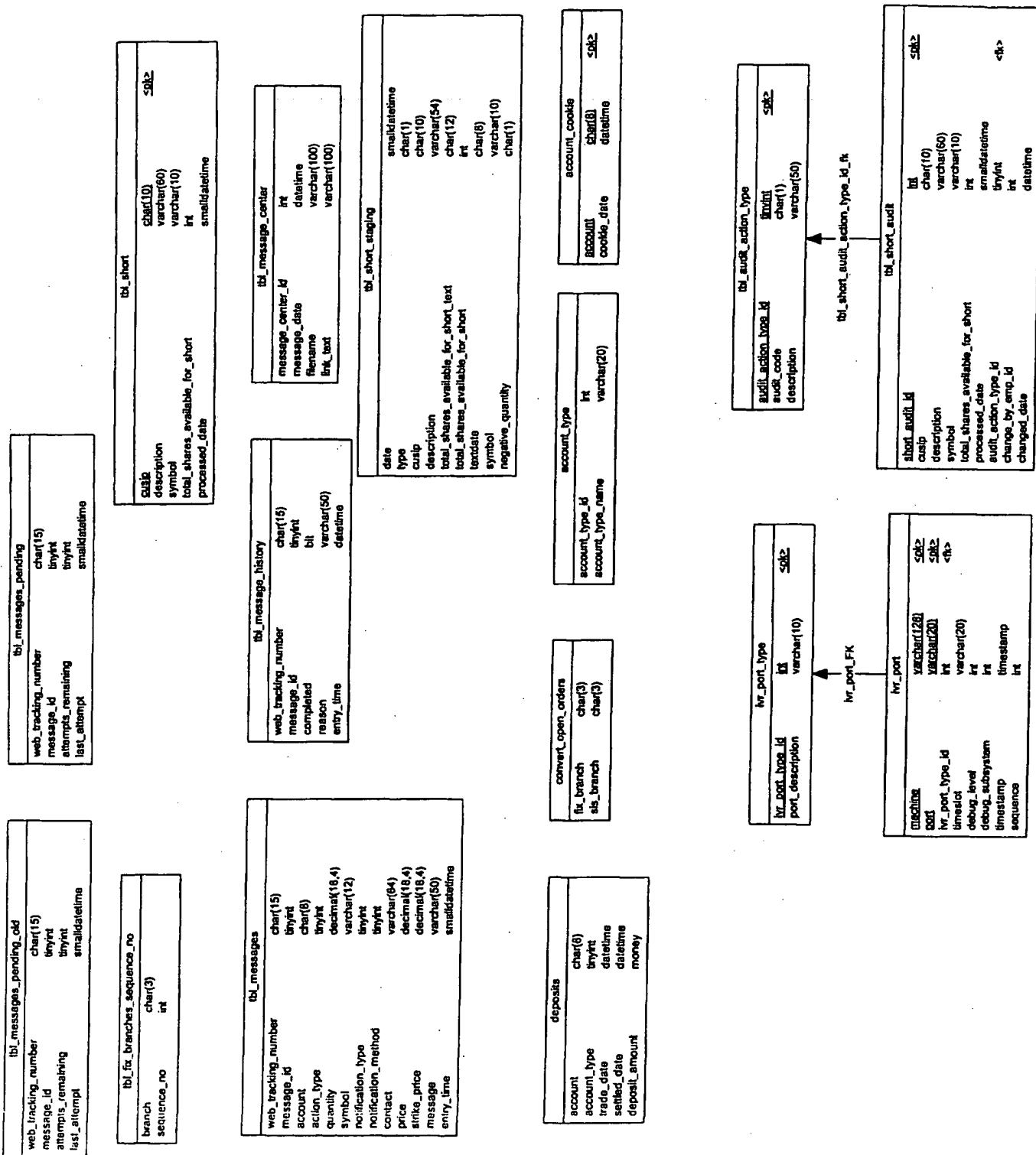


Figure 15(b)

TRADING ADMIN DB 2

Invento
Express Mail No.
Docket #

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10/15/2003

Figure 1 (a)

Scottrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back

Address

Trading (mttully) Admin

Do Not Use Browser Back / Forward Buttons

Refresh Refresh

Approval (Group)

Disable Auto Refresh (C-2)
Disable Auto Refresh to enable Flush Queue option

Emergency Flush Show [15] Orders

Orders: 2 N = New Order ; M = Modify Order ; X = Cancel Order

10/14/2003 3:36:48 PM

Manual	Account	Market Side	Quantity	Symbol	Price	TIF	Action	Assigned	Working	Display	Done	Flush
	55822397	Sell to Open	1	AMRBM	M	Day	N	bbree			Done	
	76631739	Sell to Open	3	BKKG	M	Day	N	rdemng			Done	

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(a) figure 16

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Figure 16 (c)

ScottTrade - Trading Admin - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back → → Home Search Favorites History

Address: <http://trdddm.scottrade.com/TradingAdmin/TradingAdminFrame.asp>

Trading (mtully) Admin

Indiv Group Approval Queue Symbol Admin Option Admin Trading Control History

Account: 78451712 Symbol: [] Tracking #: []

*Start Date: 10/2/2003 *End Date: 10/3/2003

#	Action	Source/Route	Action	Qty	Symbol	Price	TIF	Account	Date	Tracking #	Orig. Track #
1	New	Wireless/Fix	Buy	1	EMC	1.5	Day	78451712	10/1/2003 3:30:00 PM	X0A113200031014	
2	Cancel	Approval/Fix	Buy	1	CE	1.5	Day	78451712	10/1/2003 3:47:12 AM	X0A113200031014	X0B328920031013
3	Cancel	Web/Approval	Buy	1	CE	1.5	Day	78451712	10/1/2003 3:47:34 AM	PS835020031014	X0B328920031013
4	New	Web/Fix	Buy	1	CE	1.5	Day	78451712	10/1/2003 5:27:38 PM	XX0328920031013	
5	New	Elite/Fix	Buy	1	KTTSY	1.5	Day	78451712	10/1/2003 5:12:16 PM	XAB736120031013	
6	New	Elite/None	Sell	1	KTTSY	1.5	Day	78451712	10/1/2003 5:11:50 PM	ES1200320031013	
7	New	Elite/None	Sell	2	MSFT	1.40	Day	78451712	10/1/2003 5:02:38 PM	ES863120031013	
8	New	Elite/Fix	Sell	2	MSFT	1.40	Day	78451712	10/1/2003 5:02:38 PM	XIA242520031013	

Done

file:///C:/Documents%20and%20Settings/millerlk\Local%20Settings\Temporary%20Internet%20Files\Temporary\20Files\OLK6\AdminAuditHistory.iop

Figure 17

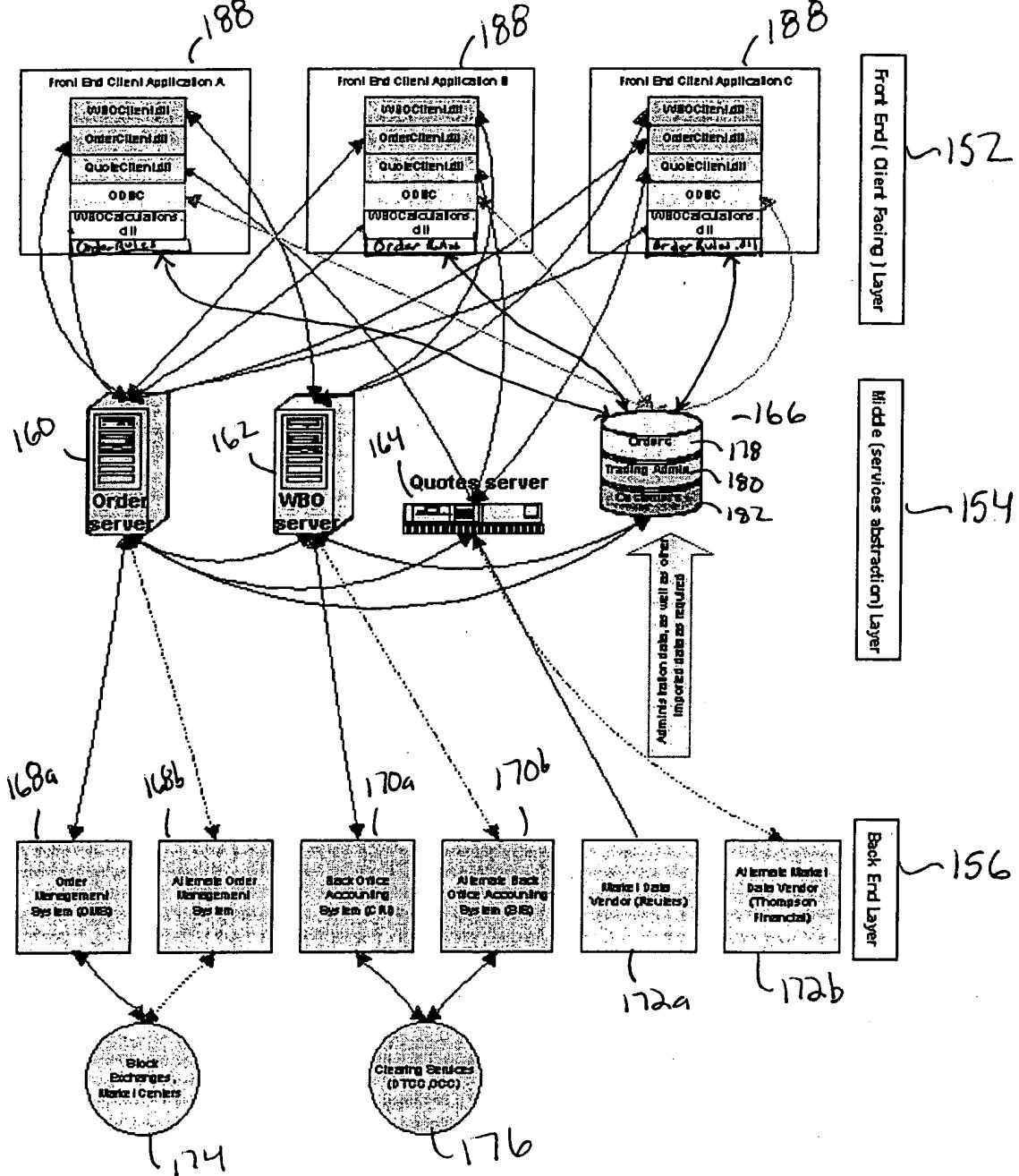
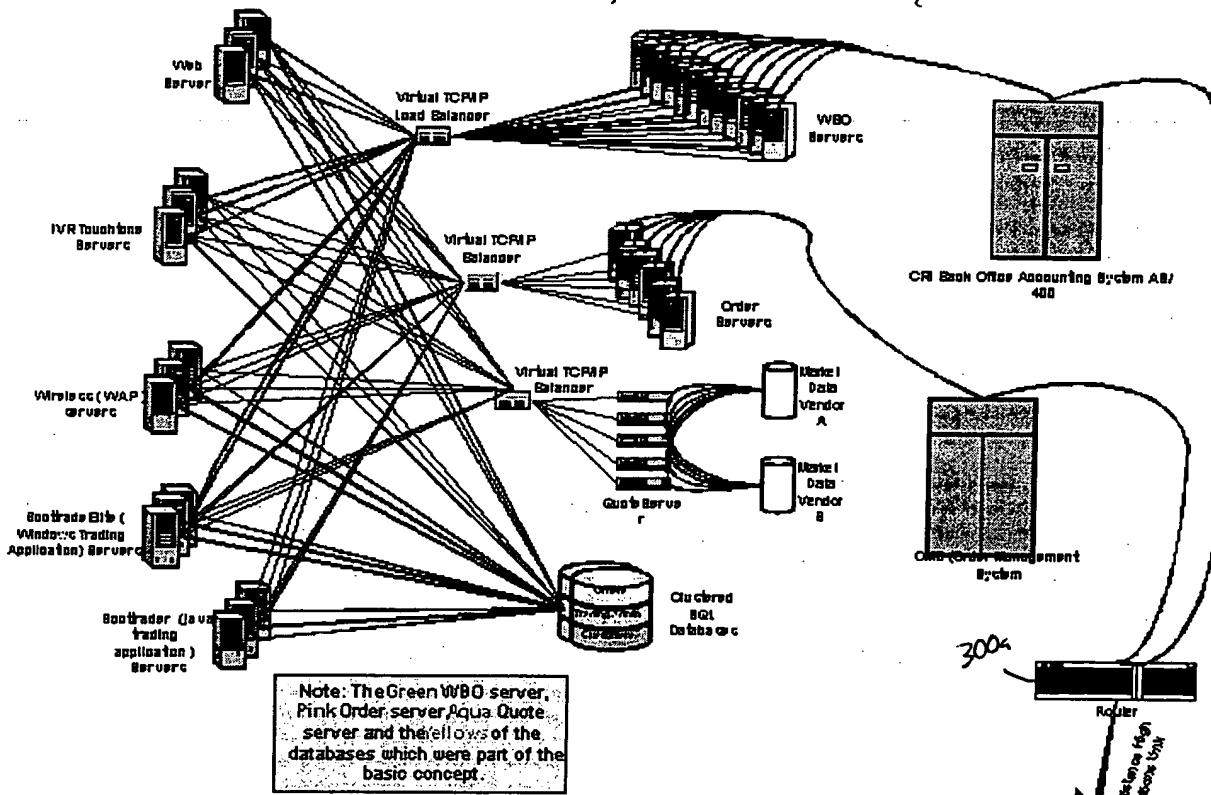
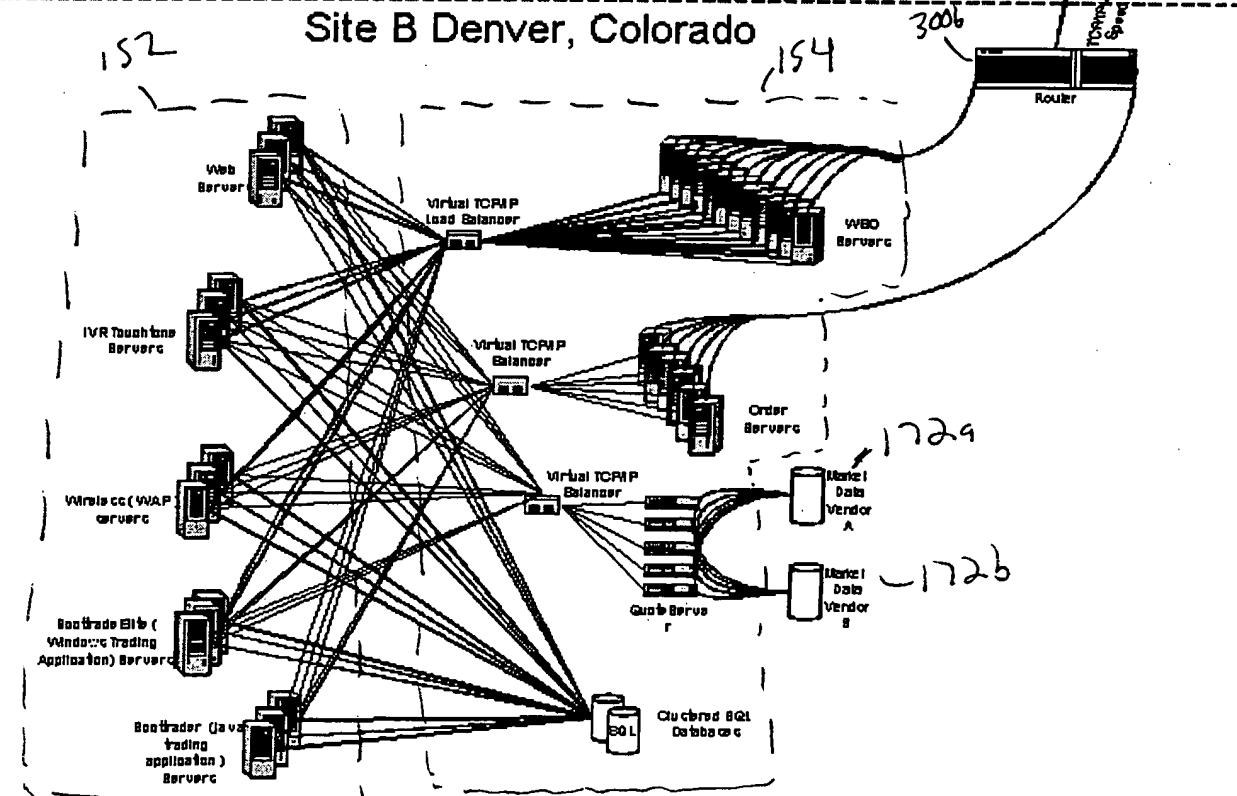


Figure 18 - Multi Site DR

Site A St. Louis, Missouri



Site B Denver, Colorado



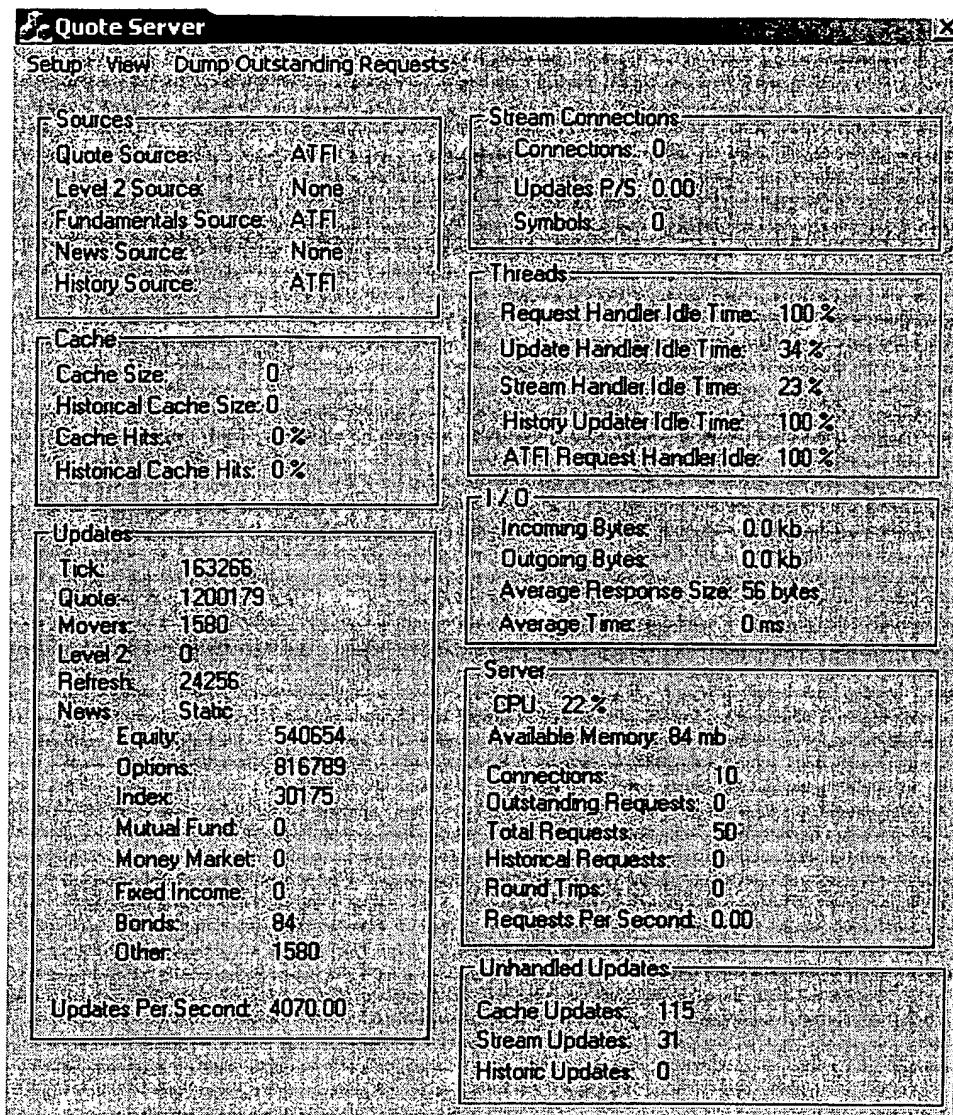


Figure 19(a)

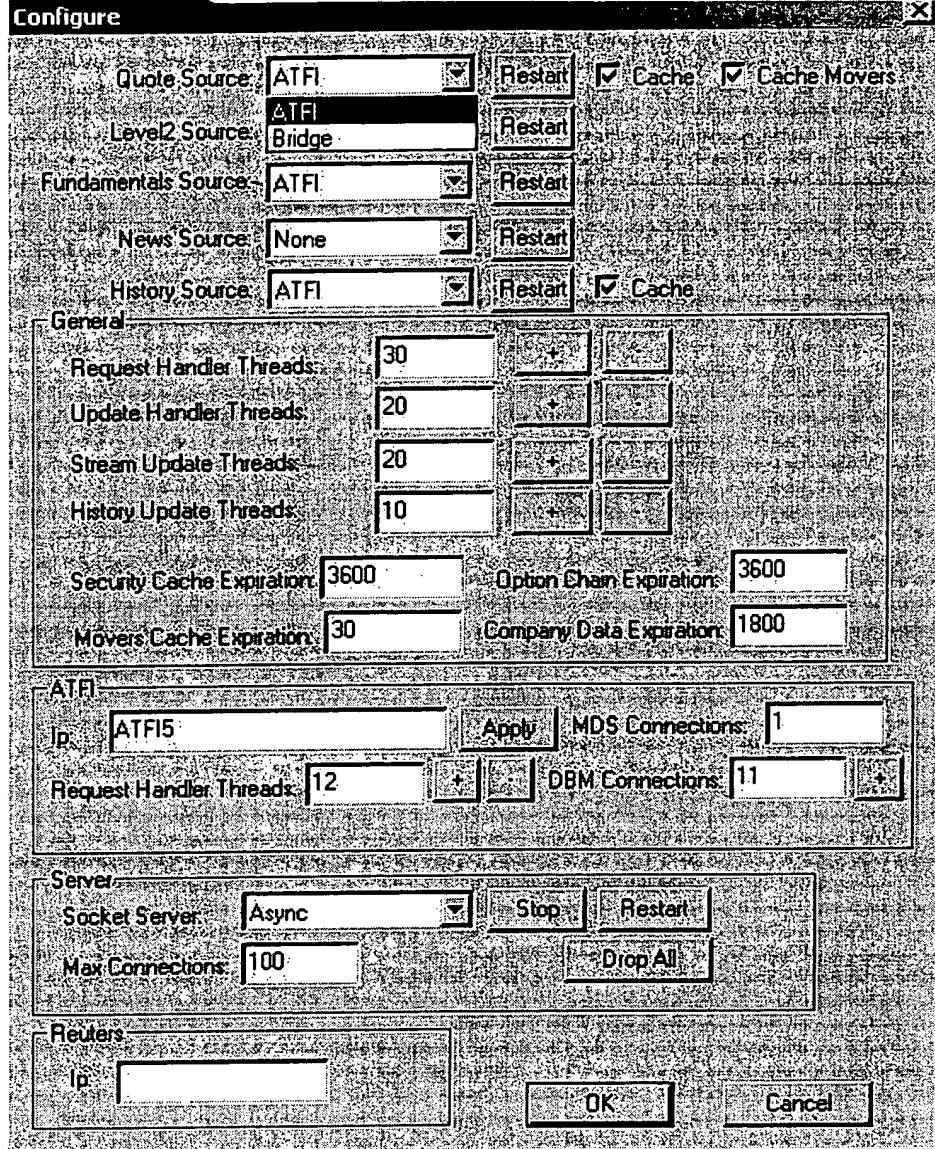


Figure 19(b)

Inventor(s): Tully et al.
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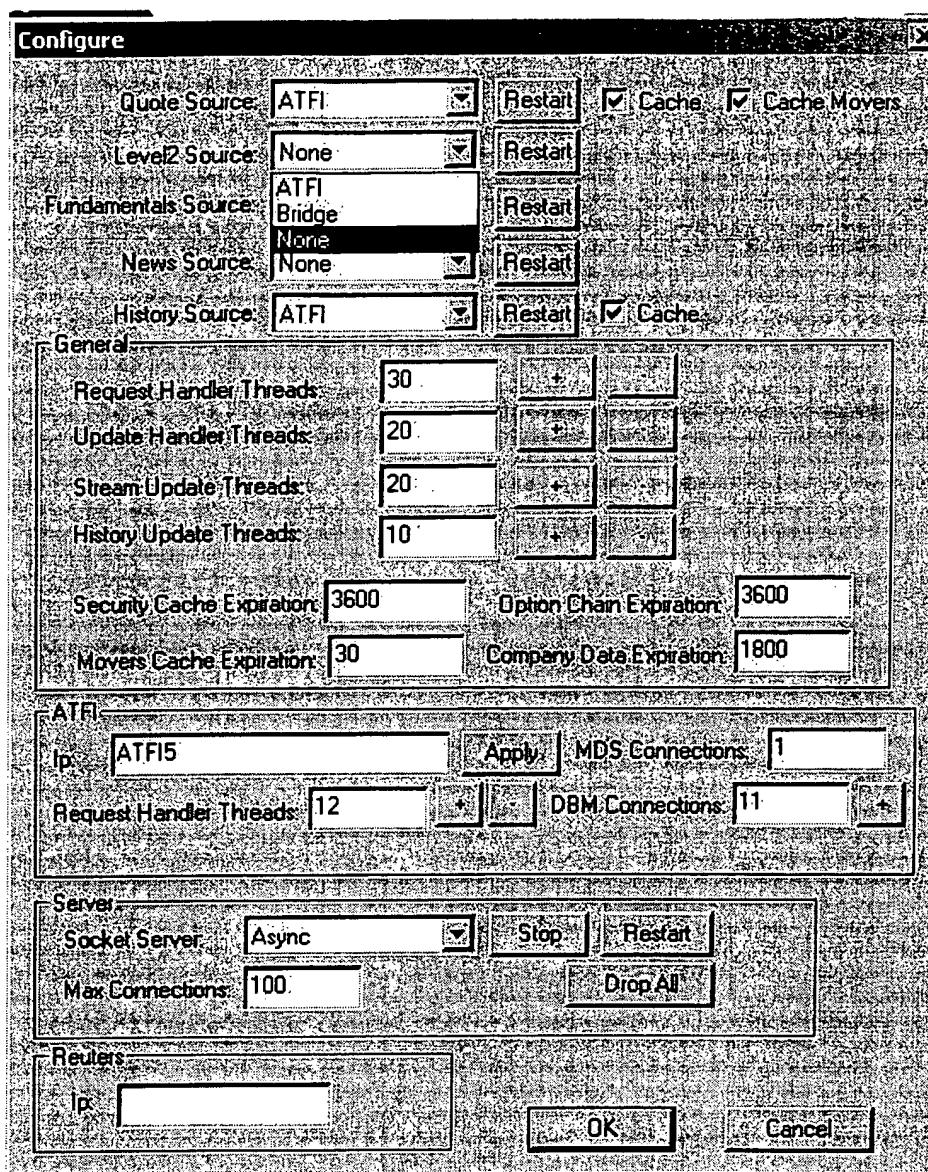


Figure 19(c)

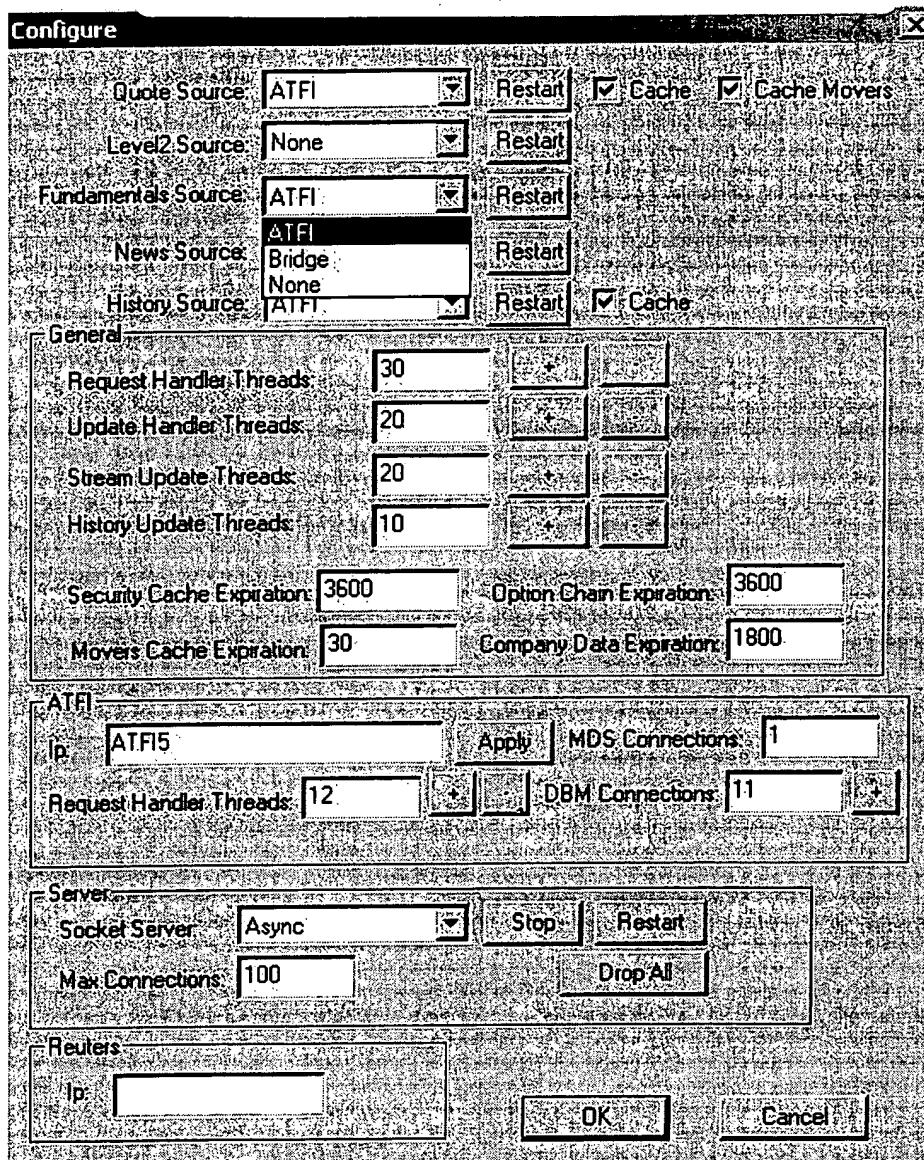


Figure 19(d)

Inventor(s): Bally et al.
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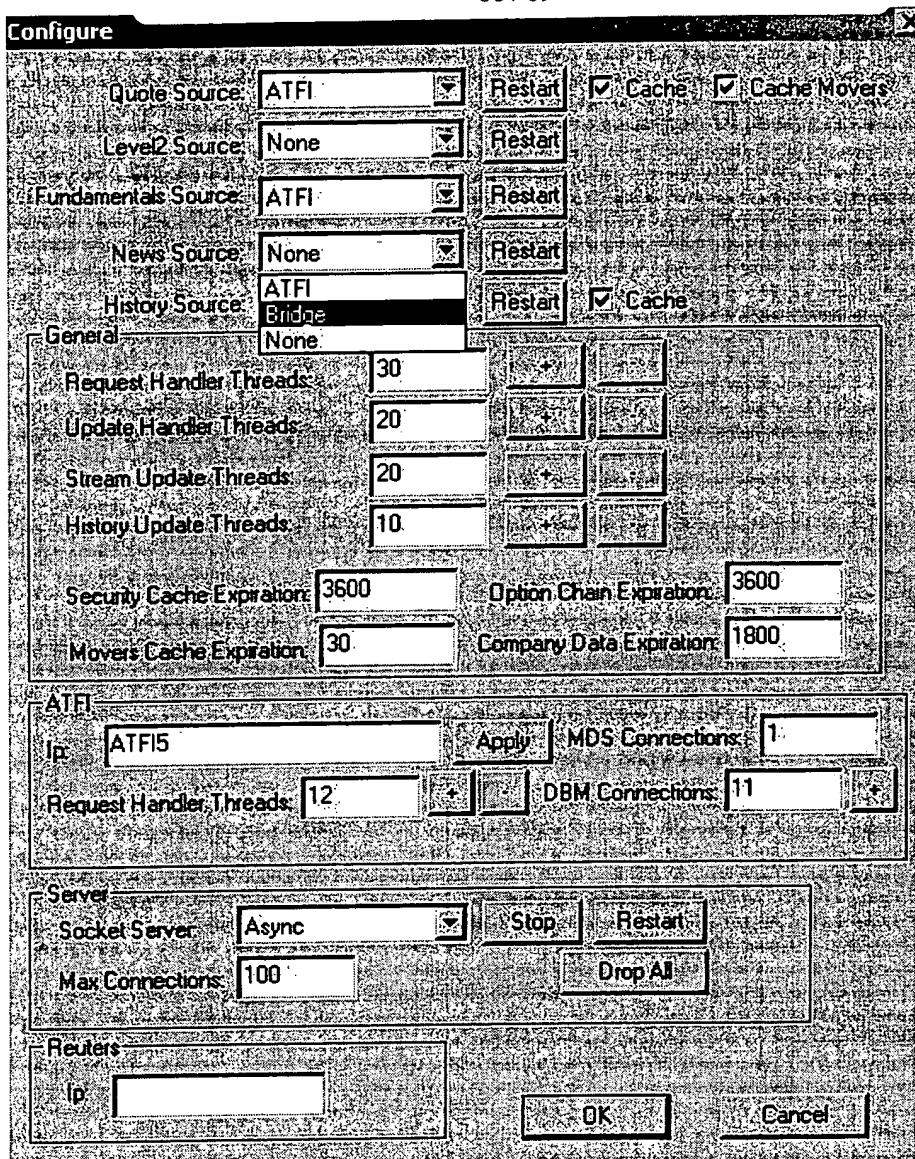


Figure 19(e)

Configure

Quote Source:	ATFI	<input type="button" value="Restart"/>	<input checked="" type="checkbox"/> Cache	<input checked="" type="checkbox"/> Cache Movers
Level2 Source:	None	<input type="button" value="Restart"/>		
Fundamentals Source:	ATFI	<input type="button" value="Restart"/>		
News Source:	None	<input type="button" value="Restart"/>		
History Source:	ATFI	<input type="button" value="Restart"/>	<input checked="" type="checkbox"/> Cache	
General				
Request Handler Thrd:	ATFI Bridge None	<input type="button" value="+"/>	<input type="button" value="-"/>	
Update Handler Threads:	20	<input type="button" value="+"/>	<input type="button" value="-"/>	
Stream Update Threads:	20	<input type="button" value="+"/>	<input type="button" value="-"/>	
History Update Threads:	10	<input type="button" value="+"/>	<input type="button" value="-"/>	
Security Cache Expiration:	3600		Option Chain Expiration:	3600
Movers Cache Expiration:	30		Company Data Expiration:	1800

ATFI

Ip:	ATFI5	<input type="button" value="Apply"/>	MDS Connections:	1			
Request Handler Threads:	12	<input type="button" value="+"/>	<input type="button" value="-"/>	DBM Connections:	11	<input type="button" value="+"/>	<input type="button" value="-"/>

Server

Socket Server:	Async	<input type="button" value="Stop"/>	<input type="button" value="Restart"/>	<input type="button" value="Drop All"/>
Max Connections:	100			

Reuters

Ip:		<input type="button" value="OK"/>	<input type="button" value="Cancel"/>
-----	--	-----------------------------------	---------------------------------------

Figure 19(f)